

UNITED STATES DISTRICT COURT  
EASTERN DISTRICT OF NEW YORK

IN RE PELOTON INTERACTIVE, INC.,  
SECURITIES LITIGATION.

Case No. 2:21-cv-02369-CBA-PK

**DECLARATION OF MELISSA MEJIA REGARDING  
(A) MAILING OF THE POSTCARD NOTICE; (B) PUBLICATION OF THE  
SUMMARY NOTICE; AND (C) REPORT ON REQUESTS FOR EXCLUSION**

I, Melissa Mejia, hereby declare and state as follows:

1. I am a Senior Project Manager employed by Epiq Class Action & Claims Solutions, Inc. (“Epiq”). The statements of fact in this declaration are based on my personal knowledge and information provided to me by my colleagues in the ordinary course of business, and if called on to do so, I could and would testify competently thereto.

2. Epiq was retained by Lead Counsel to be the Claims Administrator pursuant to the Court’s Decision and Order (the “Preliminary Approval Order”) dated February 21, 2024, and in accordance with the Stipulation and Agreement of Settlement dated April 17, 2023 (the “Stipulation”).<sup>1</sup> I submit this Declaration in order to advise the Parties and the Court regarding the implementation of the Court-approved distribution of the Class Notice, and to report on Epiq’s handling to date of the Claims administration, in accordance with the Preliminary Approval Order and the Stipulation.

3. Epiq was established in 1968 as a client services and data processing company. Epiq has administered bankruptcies since 1985 and settlements since 1993. Epiq has routinely developed and executed notice programs and administrations in a wide variety of mass action

---

<sup>1</sup> All capitalized terms not otherwise defined in this document shall have the same meanings ascribed to them in the Stipulation.

contexts including settlements of consumer, antitrust, products liability, and labor and employment class actions, settlements of mass tort litigation, Securities and Exchange Commission enforcement actions, Federal Trade Commission disgorgement actions, insurance disputes, bankruptcies, and other major litigation. Epiq has administered more than 4,500 settlements, including some of the largest and most complex cases ever settled. Epiq's class action case administration services include administering notice requirements, designing direct-mail notices, implementing notice fulfillment services, coordinating with the United States Postal Service ("USPS"), developing and maintaining notice websites and dedicated telephone numbers with recorded information and/or live operators, processing exclusion requests, objections, claim forms and correspondence, maintaining class member databases, adjudicating claims, managing settlement funds, and calculating claim payments and distributions. As an experienced neutral third-party administrator working with settling parties, courts, and mass action participants, Epiq has handled hundreds of millions of notices, disseminated hundreds of millions of emails, handled millions of phone calls, processed tens of millions of claims, and distributed hundreds of billions in payments.

#### **OVERVIEW OF ADMINISTRATION**

4. Pursuant to the Stipulation and Preliminary Approval Order Epiq was retained to provide, and did provide, the following administrative services for the benefit of Settlement Class Members, as they are defined in the Stipulation:

- Publish a Summary Notice of the Settlement in *Investor's Business Daily* and *Globe Newswire*;
- As appropriate, mail a Postcard Notice or long form Notice and Claim Form to Settlement Class Members;

- Establish and maintain an official Settlement Website containing information about the Peloton Interactive, Inc., Securities Settlement;
- Establish and maintain an official toll-free number that Settlement Class Members may contact for additional information about the Settlement;
- Review and process Requests for Exclusion sent to or received by Epiq; and
- Receive, process, track, and report on Claim Forms sent to or received by Epiq.

### **PUBLICATION NOTICE**

5. Pursuant to paragraph 12 of the Preliminary Approval Order, Epiq published the Summary Notice, which appeared once in the weekday edition of *Investor's Business Daily* on March 4, 2024. Proof of the publication is attached hereto as **Exhibit A**.

6. Pursuant to paragraph 12 of the Preliminary Approval Order on March 6, 2024, Epiq distributed the Summary Notice to *Globe Newswire* announcing the Settlement to media outlets across the country. A copy of the Summary Notice that was distributed by *Globe Newswire* is included in **Exhibit A**.

### **DATA TRANSFER**

7. On February 29, 2024, Lead Counsel provided Epiq with electronic files containing potential Settlement Class Member records. The files contained 51 names, addresses, and other relevant custom data for potential Settlement Class Members ("Class Data").

8. Epiq loaded the information provided by Lead Counsel into a database created for the purpose of administration of the proposed Settlement. Epiq assigned unique identifiers to all the records it received in order to maintain the ability to track them throughout the Settlement administration process. Epiq combined the data and reviewed the data for duplicates and confirmed the 51 of Settlement Class Member records (the "Class List").

**DISSEMINATION OF THE POSTCARD NOTICE BY POSTAL MAIL**

9. Pursuant to paragraphs 10-11 of the Preliminary Approval Order, Epiq was responsible for sending the Postcard Notice to all potential Settlement Class Members. Attached hereto as **Exhibit B** is the Postcard Notice that Epiq disseminated by mail.

10. Prior to mailing the Postcard Notice to the Class List, all mailing addresses were checked against the National Change of Address (“NCOA”) database maintained by the United States Postal Service (“USPS”).<sup>2</sup> In addition, the addresses were processed via the Coding Accuracy Support System (“CASS”) to ensure the quality of the zip code, and verified through Delivery Point Validation (“DPV”) to verify the accuracy of the addresses.

11. Prior to commencing any mailings for this matter, Epiq established a dedicated post office box to mail notice from and to allow Settlement Class Members to contact the Claims Administrator or submit documents by mail. Epiq has and will continue to maintain the P.O. Box throughout the administration process.

12. On March 13, 2024, Epiq mailed 51 Postcard Notices to potential Settlement Class Members on the Class List with a valid mailing address.

13. The large majority of potential Settlement Class Members are “beneficial” purchasers whose securities are held in “in street name”-i.e., the securities are purchased by brokerage firms, banks, institutions and other third-party nominees in the name of the nominee, of behalf od the beneficial purchasers. Epiq maintains and updates a proprietary list of the largest and most common banks, brokers, and other nominees. Accordingly, the list of known holders of

---

<sup>2</sup> The NCOA database contains records of all permanent change of address submissions received by the USPS for the last four years. The USPS makes this data available to mailing firms and lists submitted to it are automatically updated with any reported move based on a comparison with the person’s name and last known address.

Peloton securities provided by Lead Counsel was supplemented with Epiq's internal broker list containing 990 additional names and addresses.

14. Those who purchased or otherwise acquired Peloton securities during the Class Period for the beneficial interest of a person or organization other than themselves to either (i) provide Epiq with the names and addresses of such beneficial owners no later than ten (10) calendar days of receipt of Notice, or (ii) request within ten (10) calendar days of the Notice, additional copies of the Postcard Notice from the Claims Administration, and send a copy of the Postcard Notice to such beneficial owners, no later than ten (10) calendar days after receipt of the copies.

15. Through April 22, 2024, Epiq has mailed an additional 155,853 Postcard Notices to potential members of the Settlement Class whose names and addresses were provided to Epiq and has mailed another 4,405 Postcard Notices to nominees who requested Postcard Notices to forward to their customers. Each of the requests was responded to in a timely manner, and Epiq will continue to timely respond to any additional requests received.

16. Epiq also caused the Postcard Notice to be published by the Depository Trust Company ("DTC") on the DTC Legal Notice System ("LENS"). LENS enables the participating bank and broker nominees to review the Postcard Notice and contact Epiq for copies of the Postcard Notice for their beneficial holders.

17. As of April 22, 2024, an aggregate of 160,309 Postcard Notices have been disseminated to potential Settlement Class Members and their nominees by first-class mail. The return address on the Postcard Notice is the post office box maintained by Epiq. As of April 22, 2024, 2,500 Postcard Notices have been returned by the USPS with forwarding information and promptly re-mailed to the forwarding address.

### **SETTLEMENT WEBSITE**

18. Pursuant to paragraph 10 of the Preliminary Approval Order, on February 21, 2024, Epiq launched a website, [www.pelotonsecuritiessettlement.com](http://www.pelotonsecuritiessettlement.com), that potential Settlement Class Members could visit to obtain additional information about the proposed Settlement, as well as important documents, including the long form Notice, Claim Form, Stipulation, Preliminary Approval Order, and any other relevant information that the parties agree to provide or that the Court may require (“Website”). The Website contains a summary of options available to Settlement Class Members, deadlines to act, and provides answers to frequently asked questions. Settlement Class Members are also able to file a Claim via the website, or download a paper Claim Form, which they could then file by mail. References to the Website were prominently displayed in the Summary Notice.

19. As of April 22, 2024, the Website has been visited by 7,480 unique visitors and 27,252 website pages have been viewed. Epiq has maintained and will continue to maintain and update the Website throughout the administration.

### **TOLL-FREE INFORMATION LINE**

20. Epiq established and is maintaining a toll-free interactive Voice Response Unit (“VRU”), 1-855-518-3039, to provide information and accommodate inquiries from Settlement Class Members. The toll-free number was included in the Postcard Notice sent to Settlement Class Members and the automated telephone system is available 24 hours per day, 7 days per week. Callers hear an introductory message and then are provided with scripted information about the matter in the form of recorded answers to frequently asked questions. Callers also have the options of requesting the Notice of (I) Pendency of Class Action and Proposed Settlement; (II) Settlement Hearing; and (III) Motion for Attorneys’ Fees and Litigation Expenses and the Proof of Claim and

Release Form, (collectively, the "Claim Package"), by mail, leaving a voicemail for a call center representative to call them back, or speaking to a live operator during normal business hours. A copy of the Claim Package is attached here as **Exhibit C**.

21. As of April 22, 2024, the toll-free number has received 141 calls representing 630 total minutes, and call center representatives have handled 48 inbound calls. Epiq has and will continue to maintain and update the VRU throughout the administration process.

### **REQUESTS FOR EXCLUSION**

22. Pursuant to paragraph 17 of the Preliminary Approval Order, Settlement Class Members who wished to be excluded from the Settlement are required to mail, or submit via electronic mail, a written Request for Exclusion to Epiq so that it is received on or before May 29, 2024. As of April 22, 2024, Epiq has received two (2) timely and potentially valid exclusion requests. A copy of the two requests received to date is attached hereto as **Exhibit D**.

### **OBJECTIONS RECIEVED**

23. Pursuant to paragraph 19 of the Preliminary Approval Order, Settlement Class Members who wished to object to the Settlement were required to submit written objections to the Clerk of the Court, Counsel for the Defendant, and Lead Counsel, such that they were received on or before the objection deadline of May 30, 2024. As of April 22, 2024, Epiq is not aware of, nor has Epiq received any written objections to the Settlement.

### **CLAIMS RECEIVED**

24. Pursuant to paragraph 15 of the Preliminary Approval Order, Settlement Class Members who wished to be eligible to receive a distribution from the Net Settlement Fund are required to submit a completed Claim Form to the Claims Administrator electronically or via U.S.

Mail, so that it is submitted and/or postmarked no later than May 21, 2024. As of April 22, 2024, Epiq has received 299 Claim Forms.<sup>3</sup>

I declare under penalty of perjury under the laws of the United States and the State of New York that the foregoing is true and correct, and that this declaration was executed on April 23, 2024, in New York, NY.

*Melissa Mejia*  
\_\_\_\_\_  
Melissa Mejia  
Senior Project Manager  
Epiq Class Action & Claims Solutions, Inc. (“Epiq”)

---

<sup>3</sup> As Epiq is still receiving, reviewing, and processing timely and late claims, the claims information provided herein is subject to further analysis for eligibility and quality control, and is, therefore, preliminary at this time.

# EXHIBIT A

## CONFIRMATION OF PUBLICATION

IN THE MATTER OF: *Peloton Interactive Securities*

I, Kathleen Komraus, hereby certify that

(a) I am the Media & Design Manager at Epiq Class Action & Claims Solutions, a noticing administrator, and;

(b) The Notice of which the annexed is a copy was published in the following publications on the following dates:

*3.4.2024 – Investor’s Business Weekly*

*3.6.2024 – Globe Newswire*

X *Kathleen Komraus*

\_\_\_\_\_  
(Signature)

Media & Design Manager

\_\_\_\_\_  
(Title)

MUTUAL FUND PERFORMANCE

Table with multiple columns showing mutual fund performance metrics: 3-Mo Performance, YTD 12Wk, 5Yr, Net Asset Value, and NAV. Funds are grouped by category such as -M-N-O-, -J-K-L-, -S-T-U-, and -V-W-X-.

Legal notice from the United States District Court, Eastern District of New York, regarding Peloton Interactive, Inc. securities litigation. Includes summary of the case, court details, and contact information for the settlement administrator.

Advertisement for Leaderboard, IBD® experts. Features the headline 'Investing just got easier.' and 'With Leaderboard, IBD® experts pick the best stocks and map out optimal buy points. You trade and watch your money grow.' Includes a QR code and contact information for investors.com/LBI.



# Faruqi & Faruqi, LLP Announces Pendency of Class Action Involving Purchasers of Peloton Interactive, Inc. Securities

March 06, 2024 08:00 ET | Source: [Faruqi & Faruqi LLP](#)

Follow

## Company Profile

Faruqi & Faruqi LLP  
Industry: Retail  
Website: <https://www.faruqilaw.com/>

## Press Release Actions

- [Print](#)
- [Download PDF](#)
- [Subscribe via RSS](#)
- [Subscribe via ATOM](#)
- [Javascript](#)

BROOKLYN, N.Y., March 06, 2024 (GLOBE NEWSWIRE) -- The following statement is being issued by Faruqi & Faruqi, LLP regarding Peloton Interactive, Inc. Securities Litigation.

### UNITED STATES DISTRICT COURT EASTERN DISTRICT OF NEW YORK

IN RE PELOTON  
INTERACTIVE, INC.  
SECURITIES LITIGATION

Case No. 1:21-cv-02369-CBA-PK  
**SUMMARY NOTICE OF (I) PENDENCY OF  
PROPOSED SETTLEMENT; (II) SETTLEMENT  
MOTION FOR ATTORNEYS' FEES AND**



## Share



**To: All Persons who purchased or otherwise acquired Peloton Interactive, Inc.'s ("Peloton") securities between September 11, 2020 and May 5, 2021, inclusive, and who suffered damages thereby ("Settlement Class").**

YOU ARE HEREBY NOTIFIED, pursuant to Rule 23 of the Federal Rules of Civil Procedure and an Order of the United States District Court for the Eastern District of New York, that Richard Neswick, Lead Plaintiff in the Action ("Lead Plaintiff"), on behalf of himself and all members of the Settlement Class and Defendants Peloton Interactive, Inc. ("Peloton"), and John Foley, Jill Woodworth, Hisao Kushi, and Brad Olson (the "Individual Defendants," and with Peloton, the "Defendants," and collectively with Plaintiffs, the "Parties"), have reached a proposed settlement of the claims in the Action in the amount of \$13,950,000 (the "Settlement").



## Faruqi & Faruqi, LLP Announces Pendency of Class Actio...



States District Court for the Eastern District of New York, at the Theodore Roosevelt Court House, 225 Cadman Plaza East, Brooklyn, NY 11201 (the "Settlement Hearing") to, among other things, determine whether the Court should: (i) approve the proposed Settlement as fair, reasonable, and adequate; (ii) dismiss the Action with prejudice as provided in the Stipulation and Agreement of Settlement, dated April 17, 2023; (iii) approve the proposed Plan of Allocation for distribution of the settlement funds available for distribution to Settlement Class Members (the "Net Settlement Fund"); and (iv) approve Lead Counsel's Fee and Expense Application. The Court may change the date of the Settlement Hearing, or hold it telephonically, without providing another notice. You do NOT need to attend the Settlement Hearing to receive a distribution from the Net Settlement Fund.

**IF YOU ARE A MEMBER OF THE SETTLEMENT CLASS, YOUR RIGHTS WILL BE AFFECTED BY THE PROPOSED SETTLEMENT AND YOU MAY BE ENTITLED TO A MONETARY PAYMENT.** You may obtain copies of the Notice and Proof of Claim form by visiting the website of the Claims Administrator, [www.PelotonSecuritiesSettlement.com](http://www.PelotonSecuritiesSettlement.com), or by contacting the Claims Administrator at:

*In re Peloton Interactive, Inc. Securities Litigation*

Epiq Systems, Inc.

PO Box 2915

Portland, OR 97208-2915

[Info@PelotonSecuritiesSettlement.com](mailto:Info@PelotonSecuritiesSettlement.com)

Inquiries, other than requests for the Notice/Claim Form or for information about the status of a claim, may also be made to Lead Counsel:

James M. Wilson, Jr.

**FARUQI & FARUQI, LLP**

685 Third Avenue, 26th Floor

New York, NY 10017

Telephone: 212-983-9330

Facsimile: 212-983-9331

Email: [jwilson@faruqilaw.com](mailto:jwilson@faruqilaw.com)



## Faruqi & Faruqi, LLP Announces Pendency of Class Actio...



CLAIM FORM *postmarked or submitted electronically no later than May 21, 2024*. If you are a Settlement Class Member and do not timely submit a valid Claim Form, you will not be eligible to share in the distribution of the Net Settlement Fund, but you will nevertheless be bound by all judgments or orders entered by the Court relating to the Settlement, whether favorable or unfavorable.

If you are a Settlement Class Member and wish to exclude yourself from the Settlement Class, you must submit a written request for exclusion in accordance with the instructions set forth in the Notice such that it is **received no later than May 29, 2024**. If you properly exclude yourself from the Settlement Class, you will not be bound by any judgments or orders entered by the Court relating to the Settlement, whether favorable or unfavorable, and you will not be eligible to share in the distribution of the Net Settlement Fund.

Any objections to the proposed Settlement, Lead Counsel's Fee and Expense Application, and/or the proposed Plan of Allocation must be filed with the Court, either by mail or in person, and be mailed to counsel for the Parties in accordance with the instructions in the Notice, such that they are **received no later than May 30, 2024**.

**PLEASE DO NOT CONTACT THE COURT, DEFENDANTS, OR  
DEFENDANTS' COUNSEL REGARDING THIS NOTICE.**

Dated: March 4, 2024

BY ORDER OF THE COURT  
UNITED STATES DISTRICT COURT  
EASTERN DISTRICT OF NEW YORK

SOURCE: Faruqi & Faruqi, LLP

URL: [www.PelotonSecuritiesSettlement.com](http://www.PelotonSecuritiesSettlement.com)

## Recommended Reading

# EXHIBIT B

*In re Peloton Interactive, Inc. Securities Litigation*

c/o Epiq Systems, Inc.  
PO Box 2915  
Portland, OR 97208-2915

***COURT-ORDERED LEGAL NOTICE***

**Important Notice about a Securities  
Class Action Settlement.**

**You may be entitled to a CASH payment.  
This Notice may affect your legal rights.  
Please read it carefully.**

In re Peloton Interactive, Inc.  
Securities Litigation,  
Case No. 1:21-cv-02369-CBA-PK

There has been a proposed Settlement of claims against Peloton Interactive, Inc. (“Peloton”) and certain current and former executives of Peloton (collectively, the “Defendants”). The Settlement resolves a lawsuit in which Lead Plaintiff alleges that Defendants disseminated materially false and misleading information to the investing public about Peloton’s treadmills, in violation of the federal securities laws. Defendants deny any and all allegations of wrongdoing whatsoever. You received this Postcard Notice because you or someone in your family may have purchased or otherwise acquired Peloton securities between September 11, 2020 and May 5, 2021, inclusive, and been damaged thereby.

Defendants have agreed to cause Peloton to pay a Settlement Amount of \$13,950,000.00. The Settlement provides that the Settlement Fund, after deduction of any Court-approved attorneys’ fees and expenses, notice and administration costs, and taxes, is to be divided among all Settlement Class Members who submit a valid Claim Form, in exchange for the settlement of this case and the Releases by Settlement Class Members of claims related to this case. For all details of the Settlement, read the Stipulation and full Notice, available at [www.PelotonSecuritiesSettlement.com](http://www.PelotonSecuritiesSettlement.com). Your share of the Settlement proceeds will depend on the number of valid Claims submitted, and the number, size, and timing of your transactions in Peloton securities. If every eligible Settlement Class Member submits a valid Claim Form, the average recovery will be \$0.10 per damaged share of Peloton common stock before expenses and other Court-ordered deductions. Your award will be determined *pro rata* based on the number of claims submitted. This is further explained in the detailed Notice found on the Settlement website.

To qualify for payment, you must submit a Claim Form. The Claim Form can be found on the website [www.PelotonSecuritiesSettlement.com](http://www.PelotonSecuritiesSettlement.com), or will be mailed to you upon request to the Claims Administrator (1-855-518-3039). Claim Forms must be postmarked by May 21, 2024. If you do not want to be legally bound by the Settlement, you must exclude yourself by May 29, 2024, or you will not be able to sue the Defendants about the legal claims in this case. If you exclude yourself, you cannot get money from this Settlement. If you want to object to the Settlement, you may file an objection by May 30, 2024. The detailed Notice explains how to submit a Claim Form, exclude yourself or object.

The Court will hold a hearing in this case on June 20, 2024, to consider whether to approve the Settlement and a request by the lawyers representing the Settlement Class for up to 28% of the Settlement Fund in attorneys’ fees, plus actual expenses up to \$100,000 for litigating the case and negotiating the Settlement, and reimbursement of Lead Plaintiff’s costs and expenses related to his representation of the Settlement Class in an aggregate amount not to exceed \$5,000. You may attend the hearing and ask to be heard by the Court, but you do not have to. For more information, call toll-free 1-855-518-3039 or visit the website [www.PelotonSecuritiesSettlement.com](http://www.PelotonSecuritiesSettlement.com) and read the detailed Notice.

# EXHIBIT C

**UNITED STATES DISTRICT COURT  
EASTERN DISTRICT OF NEW YORK**

IN RE PELOTON INTERACTIVE, INC.  
SECURITIES LITIGATION

Case No. 1:21-cv-02369-CBA-PK

**NOTICE OF (I) PENDENCY OF CLASS  
ACTION AND PROPOSED SETTLEMENT; (II)  
SETTLEMENT HEARING; AND (III) MOTION  
FOR ATTORNEYS' FEES AND LITIGATION  
EXPENSES**

If you purchased or otherwise acquired Peloton’s securities between September 11, 2020 and May 5, 2021, inclusive, and were damaged thereby, then you may be entitled to a payment from a class action settlement.<sup>1</sup>

*A federal court authorized this Notice. This is not a solicitation from a lawyer.*

- The purpose of this notice (the “Notice”) is to inform you of the pendency of the securities class action in United States federal court (the “Action”), the proposed settlement of the Action (the “Settlement”), and a hearing to be held by the Court to consider: (i) whether the Settlement should be approved; (ii) whether the proposed plan for allocating the proceeds of the Settlement (the “Plan of Allocation”) should be approved; and (iii) whether Lead Counsel’s Fee and Expense Application should be approved. This Notice describes important rights you may have and what steps you must take if you wish to participate in the Settlement, wish to object, or wish to be excluded from the Settlement Class.
- On February 21, 2024, the Court preliminarily approved the Settlement. If given final approval by the Court, the proposed Settlement will create a \$13,950,000 Settlement Fund, plus any interest or income earned thereon, for the benefit of eligible Settlement Class Members, less any attorneys’ fees, expenses, and costs awarded by the Court, Notice and Administration Expenses, and Taxes.
- This Settlement resolves claims by Richard Neswick, Lead Plaintiff in the Action (“Lead Plaintiff”), individually and on behalf of each member of the Settlement Class and Peloton Interactive, Inc. (“Peloton”), and John Foley, Jill Woodworth, Hisao Kushi, and Brad Olson (the “Individual Defendants,” and with Peloton, the “Defendants,” and collectively with Plaintiffs, the “Parties”). Defendants deny all allegations of misconduct. The two sides disagree on whether the investors could have won at trial, and if so, how much money they could have won.
- Attorneys for Lead Plaintiff will ask the Court for 28% of the Settlement Fund and up to \$100,000 in reimbursement for expenses incurred in prosecuting this lawsuit. Lead Counsel also intends to ask the Court to grant Lead Plaintiff an award of up to \$5,000 for reasonable costs and expenses (including lost wages) directly relating to his representation of the class. If approved by the Court, these amounts (totaling approximately \$0.029 per allegedly damaged share) will be paid from the Settlement Fund.
- The estimated average recovery, after deducting attorneys’ fees and expenses, Administrative costs,<sup>2</sup> and Lead Plaintiff’s costs and expenses (if approved by the Court), is \$0.067 per share.
- **Your legal rights are affected whether you act or do not act. Read this Notice carefully.**

<b>YOUR LEGAL RIGHTS AND OPTIONS IN THIS SETTLEMENT</b>	
<b>SUBMIT A CLAIM FORM BY MAY 21, 2024</b>	The only way to get a payment. <i>See</i> Question 9 below for details.
<b>EXCLUDE YOURSELF BY MAY 29, 2024</b>	Get no payment. This is the only option that, assuming your claim is timely brought, might allow you to ever bring or be part of any other lawsuit against Defendants and/or the other Released Defendant Parties (as defined below) concerning the Released Claims (as defined below). <i>See</i> Question 12 below for details.
<b>OBJECT BY MAY 30, 2024</b>	Write to the Court about why you do not like the Settlement, the proposed Plan of Allocation, Lead Counsel’s application for an award of attorneys’ fees and payment of expenses, and/or an award of reasonable costs and expenses to Lead Plaintiff. If you object, you will still be a member of the Settlement Class. <i>See</i> Question 16 below for details.
<b>GO TO A HEARING ON JUNE 20, 2024 AND FILE A NOTICE OF INTENTION TO APPEAR BY MAY 30, 2024</b>	Ask to speak in Court about the Settlement at the Settlement Hearing about the Settlement. <i>See</i> Question 20 below for details.
<b>DO NOTHING</b>	Get no payment AND give up your rights to bring your own individual action. <i>See</i> Question 21 below for details.

- These rights and options - **and the deadlines to exercise them** - are explained in this notice.
- The Court in charge of this case still has to decide whether to approve the Settlement. Payments will be made to all Settlement Class Members who timely submit valid Claim Forms if the Court approves the Settlement and after appeals are resolved. Please be patient.

<sup>1</sup> All capitalized terms not otherwise defined in this document shall have the meaning provided in the Stipulation and Agreement of Settlement dated April 17, 2023 (the “Stipulation”).

<sup>2</sup> The estimated notice and claims administration costs for this Settlement, which shall be paid from the Settlement Fund, are \$653,162. The cost is only an estimate, however, as the administration has not fully commenced as of the date of this Notice. Based upon the estimate, the notice and administration costs per share would be approximately \$0.004.

## SUMMARY OF THE NOTICE

### **Statement of Plaintiff's Recovery**

Subject to Court approval, Lead Plaintiff, on behalf of the Settlement Class, has entered into a proposed Settlement with Defendants that, if approved by the Court, will resolve this Action in its entirety. Pursuant to the proposed Settlement, a Settlement Fund consisting of \$13.950 million in cash (the "Settlement Amount"), plus any accrued interest or earnings thereon (the "Settlement Fund"), has been established.

### **Estimate of Average Amount of Recovery Per Share**

Based on Lead Plaintiff's consulting damages expert's analysis, it is estimated that if Settlement Class Members submit claims for 100% of Peloton securities entitled to participate in the Settlement, the estimated average recovery per share would be \$0.10 per share before deduction of Court-approved fees and expenses, and approximately \$0.067 per share after Court-approved fees and expenses are deducted. Please note, however, that these average recovery amounts are only estimates and an individual Settlement Class Member may recover more or less than these estimated amounts. As described more fully below in the Plan of Allocation beginning on page 10, an individual Settlement Class Member's actual recovery will depend on several factors, including: (a) the total number of claims submitted; (b) the amount of the Net Settlement Fund; (c) when the Settlement Class Member purchased his, her, or its Peloton securities; and (d) whether and when the Settlement Class Member sold his, her, or its Peloton securities.

### **Statement of Potential Outcome of the Case if the Action Continued to be Litigated**

The Parties disagree about both liability and damages and do not agree on the damages that would be recoverable if Lead Plaintiff were to prevail on each claim asserted against Defendants. The issues on which the Parties disagree include, for example: (i) whether the statements made or facts allegedly omitted were materially false or misleading, or otherwise actionable under the federal securities laws; (ii) the causes of the loss in the value of the stock; and (iii) the amount of alleged damages, if any, that could be recovered at trial.

Defendants have denied and continue to deny any wrongdoing, deny that they have committed any act or omission giving rise to any liability or violation of law, and deny that Lead Plaintiff and the Settlement Class Members have suffered any loss attributable to Defendants' actions. While Lead Plaintiff believes he has meritorious claims, he recognizes that there are significant obstacles in the way to recovery.

### **Statement of Attorneys' Fees and Expenses Sought**

Lead Counsel will apply to the Court for attorneys' fees of 28% of the Settlement Fund, which includes any accrued interest or earnings thereon. Lead Counsel has not received any payment for their services rendered or expenses incurred in conducting this Action on behalf of Lead Plaintiff and the Settlement Class. Lead Counsel will also apply for payment of expenses incurred by Lead Counsel in prosecuting the Action of up to \$100,000, plus accrued interest, which may include an application pursuant to the Private Securities Litigation Reform Act of 1995 ("PSLRA") for the reasonable costs and expenses of Lead Plaintiff of up to \$5,000 directly relating to his representation of the Settlement Class. Collectively, these applications are referred to as the "Fee and Expense Application." If approved by the Court, these amounts (totaling approximately \$0.029 per share, assuming claims are filed for all shares eligible to participate in the Settlement) will be paid from the Settlement Fund.

### **Reasons for the Settlement**

For Lead Plaintiff, the principal reason for the Settlement is the immediate benefit of a substantial cash recovery to the Settlement Class. This benefit must be compared to the uncertainty of being able to prove the allegations in the operative complaint; the risk that the Court may grant, in whole or in part, some or all of the anticipated motions for summary judgment to be filed by Defendants; the attendant risks of litigation, especially in complex actions such as this, as well as the difficulties and delays inherent in such litigation (including any trial and appeals).

For Defendants, who deny all allegations of wrongdoing or liability whatsoever and deny that any Settlement Class Members were damaged, the principal reasons for entering into the Settlement are to end the burden, expense, uncertainty, and risk of further litigation.

### **Identification of Legal Representatives**

Lead Plaintiff and the Settlement Class are represented by Faruqi & Faruqi, LLP, Court-appointed Lead Counsel. Any questions regarding the Settlement should be directed to James M. Wilson, Jr. at Faruqi & Faruqi, LLP, 685 Third Avenue, 26th Floor, New York, NY 10017, (212) 983-9330, [jwilson@faruqilaw.com](mailto:jwilson@faruqilaw.com).

## BASIC INFORMATION

### 1. Why did I get the Postcard Notice?

You or someone in your family, or an investment account for which you serve as a custodian, may have purchased or otherwise acquired Peloton securities between September 11, 2020 and May 5, 2021, inclusive. This Notice explains the Action, the Settlement, Settlement Class Members' legal rights, what benefits are available, who is eligible for them, and how to get them. Receipt of the Postcard Notice does not mean that you are a Member of the Settlement Class or that you will be entitled to receive a payment. **If you wish to be eligible for a payment, you are required to submit the Claim Form available on the settlement website, [www.PelotonSecuritiesSettlement.com](http://www.PelotonSecuritiesSettlement.com).**

The court directed this Notice be made available to Settlement Class Members to inform them of the terms of the proposed Settlement and about all of their options, before the Court decides whether to approve the Settlement at the upcoming hearing to consider the fairness, reasonableness, and adequacy of the Settlement, the proposed Plan of Allocation, and Lead Counsel's Fee and Expense Application (the "Settlement Hearing").

The Court in charge of the case is the United States District Court for the Eastern District of New York, and the Action is known as *In re Peloton Interactive, Inc. Securities Litigation*, No. 1:21-cv-02369-CBA-PK (E.D.N.Y.).

### 2. What is a class action?

In a class action, one or more plaintiffs, called lead plaintiffs or class representatives, sue on behalf of people who have similar claims. The individuals and entities on whose behalf the class representative is suing are known as class members. One court resolves the issues in the case for all class members, except for those who choose to exclude themselves from the class if exclusion is permitted by applicable rules of procedure.

### 3. What is this case about and what has happened so far?

This is a federal securities class action lawsuit.

Peloton is a technology-enabled fitness company based in New York, NY. Lead Plaintiff alleges that during the Class Period, Defendants made materially false and/or misleading statements regarding the safety of its Tread and Tread+ machines, as alleged in the Amended Class Action Complaint ("AC").

On April 29, 2021, the initial federal complaint in the Action was filed (ECF No. 1). On June 28, 2021, Richard Neswick filed a motion for (1) consolidation, (2) appointment as Lead Plaintiff, and (3) approval of Lead Counsel (ECF No. 25). On October 26, 2021, Magistrate Judge Peggy Kuo issued an order recommending that the motion be granted (ECF No. 37), which was adopted by Judge Carol Bagley Amon on November 16, 2021. On January 21, 2022, Lead Plaintiff filed the AC (ECF No. 45). On March 7, 2022, Defendants filed a motion to dismiss the AC, which Lead Plaintiff opposed on April 26, 2021 (ECF Nos. 51-52, 55). The Court held oral argument on the motion to dismiss on June 8, 2022.

On December 15, 2022, while Defendants' motion to dismiss remained pending, the Parties participated in a mediation, conducted by David Murphy of Phillips ADR. During the all-day mediation, the Parties reached an agreement-in-principle, subject to certain Confirmatory Discovery and Court approval, to settle and release the claims asserted against Defendants in the Action.

On or about January 16, 2023, Defendants commenced their production of documents in connection with the Confirmatory Discovery. Lead Plaintiff is continuing to diligently review the documents to confirm the adequacy of the settlement.

### 4. How and when was the Settlement reached?

The Parties engaged David Murphy of Phillips ADR (the "Mediator"), a well-respected and highly experienced mediator and former securities litigator, to explore a potential negotiated resolution of the claims in the Action. The mediation involved an extended discussion about a potential resolution, and was preceded by the exchange of mediation statements and reply mediation statements. During the December 15, 2022, mediation, the Parties reached an agreement-in-principle, subject to certain confirmatory discovery and Court approval, to settle and release the claims asserted against Defendants in the Action in exchange for a lump sum cash payment of \$13,950,000. The Parties memorialized their agreement in a memorandum of understanding and thereafter negotiated the terms of this final settlement Stipulation. The Stipulation (together with its exhibits) constitutes the final and binding agreement between the Parties.

The Settlement was reached after arm’s-length negotiations between Lead Counsel and counsel for Defendants, and only after: (a) Lead Counsel conducted a lengthy investigation into the facts alleged in the Action, which included an investigation by a private investigator; (b) Lead Counsel drafted the amended complaint; (c) Lead Plaintiff and Defendants engaged in comprehensive briefing on Defendants’ Motion to Dismiss and Request for Judicial Notice; (d) Lead Counsel researched the applicable law with respect to the claims against Defendants and the potential defenses thereto; (e) Lead Counsel consulted with experts regarding the facts of the case; (f) the Parties exchanged detailed mediation statements and exhibits; (g) the Parties conducted a mediation and engaged in settlement negotiations; and (h) Lead Counsel has reviewed a significant number of pages of discovery Defendants provided following the mediation to gauge the strengths and weaknesses of the Action and Defendants’ potential defenses thereto to make sure that the Settlement Amount was fair, reasonable, and adequate.

## WHO IS IN THE SETTLEMENT

To see if you will get money from this Settlement, you first have to determine if you are a Settlement Class Member.

### 5. How do I know if I am a part of the Settlement?

Subject to certain exceptions identified below, everyone who fits this description is a Settlement Class Member: all Persons who purchased or otherwise acquired Peloton securities between September 11, 2020 and May 5, 2021, inclusive, and who suffered damages thereby.

Receipt of the Postcard Notice does not mean that you are a Settlement Class Member. **The Parties do not have access to your transactions in Peloton securities.** Please check your records or contact your broker to see if you are a member of the Settlement Class.

### 6. Are there exceptions to being included?

Yes. There are some individuals and entities that are excluded from the Class by definition. Excluded from the Settlement Class are (i) Defendants; (ii) current and former officers and directors of Peloton; (iii) members of the immediate family of each of the Individual Defendants; (iv) all subsidiaries and affiliates of Peloton and the directors and officers of Peloton and their respective subsidiaries or affiliates; (v) all persons, firms, trusts, corporations, officers, directors, and any other individual or entity in which any Defendant has a controlling interest; and (vi) the legal representatives, agents, affiliates, heirs, successors-in-interest or assigns of all such excluded parties.

Also excluded from the Settlement Class will be any Person who or which timely and validly seeks exclusion from the Settlement Class in accordance with the requirements explained in question 12 below.

### 7. What if I am still not sure if I am included?

If you are still not sure whether you are included, you can ask for free help by calling 1-855-518-3039 or visiting [www.PelotonSecuritiesSettlement.com](http://www.PelotonSecuritiesSettlement.com). You can also fill out and submit the Claim Form described on page 5, in question 9, to see if you qualify.

## THE SETTLEMENT BENEFITS – WHAT YOU GET

### 8. What does the Settlement provide?

In exchange for the Settlement and release of the Released Claims against the Released Defendant Parties, Defendants have agreed to create a \$13.95 million cash fund for the Settlement Class. After deductions for Court-awarded fees, expenses, and costs, settlement administration costs, and any applicable Taxes, the balance of the Settlement Fund (the “Net Settlement Fund”) will be distributed *pro rata* pursuant to the “Plan of Allocation” among all Settlement Class Members who submit valid and timely Claim Forms and are found to be eligible to receive a distribution from the Net Settlement Fund (“Authorized Claimants”).

The Plan of Allocation, which is subject to Court approval, is discussed in more detail on pages 10-14 of this Notice.

## 9. How can I receive payment?

To qualify for a payment, you must submit a timely and valid Claim Form with supporting documents. A Claim Form has been made available on the website dedicated to the Settlement: [www.PelotonSecuritiesSettlement.com](http://www.PelotonSecuritiesSettlement.com). You can request that a Claim Form be mailed to you by calling the Claims Administrator toll-free at (855) 518-3039. Please read the instructions contained in the Claim Form carefully, fill out the Claim Form, include all the documents the form requests, sign it, and either mail it to the Claims Administrator or submit it through email at [Info@PelotonSecuritiesSettlement.com](mailto:Info@PelotonSecuritiesSettlement.com), so it is postmarked (or received if sent via email) no later than **May 21, 2024**.

If you have large numbers of transactions, you may request, or may be requested to, submit information regarding your transactions in electronic files. If you wish to submit your transaction data electronically, you must contact the Claims Administrator at [Info@PelotonSecuritiesSettlement.com](mailto:Info@PelotonSecuritiesSettlement.com) or visit their website at [www.PelotonSecuritiesSettlement.com](http://www.PelotonSecuritiesSettlement.com) to obtain the required file layout. You must still timely submit a signed Claim Form electronically, by mail, or email, as specified above.

No electronic files will be considered to have been properly submitted unless the Claims Administrator issues to the claimant a written acknowledgement of receipt and acceptance of electronically submitted data. All claimants **MUST** timely submit a signed Claim Form to be potentially eligible for a payment from this Settlement.

## 10. When will I receive my payment?

The Court will hold the Settlement Hearing on **June 20, 2024**, to decide whether to approve the Settlement in the Action. If the Court approves the Settlement, there may be appeals after that. It is always uncertain whether these appeals can be resolved, and resolving them can take time, perhaps more than a year. It also takes time for all the Claim Forms to be processed. Please be patient.

## 11. What am I giving up to receive a payment or stay in the Settlement Class?

If you are a Settlement Class Member, unless you exclude yourself, you are staying in the Class, and that means that, upon the “Effective Date,” you will release all “Released Plaintiffs’ Claims” (as defined below) against the “Defendants’ Releasees” (as defined below).

“Released Plaintiffs’ Claims” means all claims, rights, causes of action, duties, obligations, demands, actions, debts, sums of money, suits, contracts, agreements, promises, damages and liabilities, whether known or Unknown Claims, contingent or non-contingent, indirect or direct, or suspected or unsuspected, including any claims arising under federal or state statutory or common law or any other law, rule or regulation, whether foreign or domestic, that have been asserted, could have been asserted, or could be asserted in the future against Defendants or any of the Defendants’ Releasees that (i) arise out of or relate in any way to, or are based upon, the allegations, transactions, acts, facts, events, matters, occurrences, representations or omissions involved, set forth, alleged or referred to in the operative complaint in the Action or in any of the prior complaints, or (ii) in any way are based upon or related to, directly or indirectly, the purchase or sale or other acquisition or disposition, or holding, of Peloton securities during the Class Period. For the avoidance of doubt, Released Plaintiffs’ Claims include, but are not limited to, any claims under the Securities Act of 1933 or the Securities Exchange Act of 1934, or the securities laws of any state or territory. The following claims are explicitly excluded from release: (1) all claims related to the enforcement of the Settlement; (2) asserted derivatively purportedly on behalf of Peloton in *In re Peloton Interactive, Inc. Derivative Litigation*, Case No. 1:21-cv-02862-CBA-PK (E.D.N.Y.), *In re Peloton Interactive, Inc. Stockholder Derivative Litigation*, Case No. 2022-1051-KSJM (Del. Ch.), or *Manzella v. Cortese, et al.*, Case No. 2023-0224-KSJM (Del. Ch.) (together, the “Derivative Actions”); (3) asserted by plaintiff in its June 25, 2022 complaint filed in *Robeco Capital Growth Funds v. Peloton Interactive, Inc.*, Case No. 21-cv-9582 (S.D.N.Y.) (“SDNY Action”), or any amended complaint properly filed in the SDNY Action in which that plaintiff asserts allegations that are substantially similar to those made in the June 25, 2022 complaint; or (4) any claims of any person or entity who or which submits a request for exclusion from the Settlement that is accepted by the Court. Nothing in this Settlement shall waive any arguments or defenses Defendants may assert in, in connection with, or otherwise related to any other litigation or matter, including, but not limited to, the Derivative Actions or the SDNY Action.

“Defendants’ Releasees” means Defendants, and any and all of their related parties in any forum, including, without limitation, any and all of their current, former, or future parents, subsidiaries, affiliates, predecessors, successors, divisions, investment funds, joint ventures and general or limited partnerships, and each of their respective current or former officers, directors, trustees, partners, shareholders, owners, members, contractors, subcontractors, auditors,

principals, agents, managing agents, employees, attorneys, accountants, investment bankers, underwriters, co-insurers or insurers in their capacities as such, as well as each of the Individual Defendants' Immediate Family members, heirs, executors, personal or legal representatives, estates, beneficiaries, predecessors, successors and assigns.

"Released Defendants' Claims" means all claims and causes of action of every nature and description, whether known or Unknown Claims, whether arising under federal, state, local, common, statutory, administrative, or foreign law, or any other law, rule, or regulation, at law or in equity, whether fixed or contingent, whether foreseen or unforeseen, whether accrued or unaccrued, whether liquidated or unliquidated, whether matured or unmatured, whether direct, representative, class, or individual in nature, that arise out of or relate in any way to the institution, prosecution, or settlement of the claims against Defendants, which Defendants will release as against Plaintiffs' Releasees upon the Effective Date. Released Defendants' Claims shall not include: (1) any claims relating to the enforcement of the Settlement; or (2) any claims against any Person or entity who or which submits a request for exclusion from the Settlement Class that is accepted by the Court.

"Plaintiffs' Releasees" means (i) Lead Plaintiff, his attorneys, and all other Settlement Class Members; (ii) affiliates, current and former parents, subsidiaries, successors, predecessors, assigns, executors, administrators, representatives, attorneys, and agents of each of the foregoing in (i); and (iii) the current and former officers, directors, Immediate Family members, heirs, trusts, trustees, executors, estates, administrators, beneficiaries, agents, affiliates, insurers, reinsurers, predecessors, successors, assigns, and advisors of each of the persons or entities listed in (i) and (ii), in their capacities as such.

"Unknown Claims" means any Released Plaintiffs' Claims which any Lead Plaintiff or any other Settlement Class Member does not know or suspect to exist in his, her, or its favor at the time of the release of such claims, and any Released Defendants' Claims that any Defendant does not know or suspect to exist in his, her, or its favor at the time of the release of such claims, which, if known by him, her, or it, might have materially affected his, her, or its decision(s) with respect to this Settlement. With respect to any and all Released Claims, the Parties stipulate and agree that, upon the Effective Date of the Settlement, Lead Plaintiff and Defendants shall expressly waive, and each of the other Settlement Class Members shall be deemed to have waived, and by operation of the Judgment or the Alternate Judgment, if applicable, shall have expressly waived, any and all provisions, rights, and benefits conferred by any law of any state or territory of the United States, or principle of common law or foreign law, which is similar, comparable, or equivalent to California Civil Code §1542, which provides:

**A GENERAL RELEASE DOES NOT EXTEND TO CLAIMS THAT THE CREDITOR OR RELEASING PARTY DOES NOT KNOW OR SUSPECT TO EXIST IN HIS OR HER FAVOR AT THE TIME OF EXECUTING THE RELEASE AND THAT, IF KNOWN BY HIM OR HER, WOULD HAVE MATERIALLY AFFECTED HIS OR HER SETTLEMENT WITH THE DEBTOR OR RELEASED PARTY.**

Lead Plaintiff, other Settlement Class Members, Defendants, or any of Defendants' Releasees may hereafter discover facts, legal theories, or authorities in addition to or different from those which any of them now knows or believes to be true with respect to the subject matter of the Released Claims, but Lead Plaintiff and Defendants shall expressly, fully, finally, and forever waive, compromise, settle, discharge, extinguish, and release, and each Settlement Class Member shall be deemed to have waived, compromised, settled, discharged, extinguished, and released, and upon the Effective Date and by operation of the Judgment or Alternative Judgment shall have waived, compromised, settled, discharged, extinguished, and released, fully, finally, and forever, any and all Released Claims, known or unknown, suspected or unsuspected, contingent or absolute, accrued or unaccrued, apparent or unapparent, which now exist, or heretofore existed, or may hereafter exist, without regard to the subsequent discovery or existence of such different or additional facts, legal theories, or authorities. Lead Plaintiff and Defendants acknowledge, and each of the other Settlement Class Members shall be deemed by operation of law to have acknowledged, that the foregoing waiver was separately bargained for and a material element of the Settlement.

The "Effective Date" will occur when the Court has entered the Preliminary Approval Order; Defendants have not exercised their option to terminate the Settlement pursuant to the provisions of this Stipulation; Lead Plaintiff has not exercised his option to terminate the Settlement pursuant to the provisions of this Stipulation; the Court has approved the Settlement; the Settlement Amount has been deposited into the Escrow Account; and the Judgment has become Final, or the Court has entered an Alternate Judgment and none of the Parties seek to terminate the Settlement and the Alternate Judgment has become Final.

If you remain a member of the Settlement Class, all of the Court's orders will apply to you and legally bind you. You will be bound by the releases whether or not you submit a Claim Form and/or receive a payment under the Settlement.

## EXCLUDING YOURSELF FROM THE SETTLEMENT

If you do not want to be eligible to receive a payment from the Settlement, but you want to keep any right you may have to sue or continue to sue the Defendants' Releasees on your own about the Releases, then you must take steps to remove yourself from the Settlement Class. This is called excluding yourself or "opting out" of the Settlement Class. **Please note: If you decide to exclude yourself and bring your own claims, Defendants will have the right to seek their dismissal, and there is a risk that any lawsuit you file or have already filed to pursue claims alleged in the Action may be dismissed. Also, Defendants may terminate the Settlement if Settlement Class Members who purchased in excess of a certain amount of Peloton shares seek exclusion from the Settlement Class.**

### 12. How do I exclude myself from the U.S. Settlement Class?

To exclude yourself from the Settlement Class, you must send an email or signed letter by mail stating that you request to be "excluded from the Settlement Class and do not wish to participate in the settlement in *In re Peloton Interactive, Inc. Securities Litigation*, No. 1:21-cv-02369-CBA-PK (E.D.N.Y.)." You cannot exclude yourself by telephone. To be valid, your submission must state: (A) your name, address, telephone number, and signature; (B) the date, number, and dollar amount of all purchases or acquisitions of Peloton securities between September 11, 2020 and May 5, 2021, inclusive; and (C) the date, number, and dollar amount of Peloton shares you sold between May 5, 2021 and August 2, 2021, inclusive. **The submission must also be accompanied by verification from your broker (such as copies of trade confirmations, account statements, or transaction histories), OR a verified, sworn, or attested-to chart including the dates, prices, and quantities at which you purchased and sold Peloton securities during the Class Period, OR other documentation of your transactions in Peloton securities.**

Your submission must be received, not simply be postmarked, no later than **May 29, 2024**. You may email your exclusion request to [Info@PelotonSecuritiesSettlement.com](mailto:Info@PelotonSecuritiesSettlement.com) or you may mail it to:

*In re Peloton Interactive, Inc. Securities Litigation*  
Epiq Systems, Inc.  
PO Box 2915  
Portland, OR 97208-2915

A request for exclusion shall not be valid and effective unless it provides all the information called for in the above paragraph and is received within the time stated above, or is otherwise accepted by the Court.

If you ask to be excluded, you will not get any payment from the Settlement, and you cannot object to the Settlement. You will not be legally bound by anything that happens in this lawsuit, and you may be able to sue (or continue to sue) the Defendants and the other Defendants' Releasees in the future.

### 13. If I do not exclude myself, can I sue the Defendants and the other Released Parties for the same thing later?

No. Unless you exclude yourself, you give up any rights to sue the Defendants and the other Released Defendant Parties for any and all Released Claims. If you have a pending lawsuit speak to your lawyer in that case immediately. You must exclude yourself from *this* Settlement Class to continue your own lawsuit. Remember, the exclusion deadline is **May 29, 2024**.

### 14. If I exclude myself, can I get money from the proposed Settlement?

No. If you exclude yourself, you will not get money from the proposed Settlement.

## THE LAWYERS REPRESENTING THE CLASS

### 15. Do I have a lawyer in this case? How will the lawyers be paid?

The Court has appointed the law firm of Faruqi & Faruqi, LLP as Lead Counsel to represent Lead Plaintiff and all other Settlement Class Members in the Action.

You will not be separately charged for the fees or expenses of Lead Counsel appointed by the Court. The Court will determine the amount of Lead Counsel's fees and expenses, which will be paid from the Settlement Fund. *See also* Notice at page 2 ("Statement of Attorneys' Fees and Expenses Sought"). If you want to be represented by your own lawyer, you may hire one at your own expense.

**OBJECTING TO THE SETTLEMENT, THE PLAN OF ALLOCATION,  
OR THE FEE AND EXPENSE APPLICATION**

If you are a Settlement Class Member, you can tell the Court that you do not agree with the Settlement or some part of it. You can ask the Court to deny approval by filing an objection. You can't ask the Court to order a different settlement; the Court can only approve or reject the Settlement. If the Court denies approval, no settlement payments will be sent out and the lawsuit will continue. If this is what you want to happen, you must object.

**16. How do I tell the Court that I do not like the proposed Settlement?**

If you are a Settlement Class Member, you can object to the Settlement or any of its terms, the proposed Plan of Allocation, and/or the Fee and Expense Application, and give reasons why you think the Court should not approve it. If the Court denies approval of the Settlement, no payments will be made to Settlement Class Members, the Parties will return to the position they were in before the Settlement was agreed to, and the Action will continue.

To object, you must send a signed letter stating that you object to the proposed Settlement, the proposed Plan of Allocation, and/or the Fee and Expense Application in "*In re Peloton Interactive, Inc. Securities Litigation*, No. 1:21-cv-02369-CBA-PK (E.D.N.Y.)." Your objection must state why you are objecting and must also: (i) include your name, address, telephone number, and signature; (ii) contain a statement of the objection and the specific reasons for it, including any legal and evidentiary support (including witnesses) you wish to bring to the Court's attention; and (iii) documentation identifying the number of Peloton securities you purchased or acquired between September 11, 2020 and May 5, 2021, and documentation identifying the number of Peloton shares you sold between May 5, 2021 and August 2, 2021, inclusive. Unless otherwise ordered by the Court, any Settlement Class Member who does not object in the manner described in this Notice will be deemed to have waived any objection and will be forever foreclosed from making any objection to the proposed Settlement, Plan of Allocation, and/or Lead Counsel's Fee and Expense Application. Your objection must be filed with the Court at the address below, either by mail or in person, **and** be mailed or delivered to each of the following counsel so that it is received, not simply postmarked, no later than **May 30, 2024**:

**Clerk's Office**

Clerk of the Court  
United States District Court  
Eastern District of New York  
Theodore Roosevelt Courthouse  
225 Cadman Plaza East  
Brooklyn, NY 11201

**U.S. Plaintiff's Counsel**

James M. Wilson, Jr.  
FARUQI & FARUQI, LLP  
685 Third Avenue, 26<sup>th</sup> Floor  
New York, NY 10017

**Defendants' Counsel**

Andrew B. Clubok  
LATHAM & WATKINS, LLP  
555 Eleventh Street, NW, Suite 1000  
Washington, DC 20004

**17. What is the difference between objecting and seeking exclusion?**

Objecting is telling the Court that you do not like something about the proposed Settlement, Plan of Allocation, or Fee and Expense Application. You can still recover money from the Settlement. You can object *only* if you stay in the Settlement Class. Excluding yourself is telling the Court that you do not want to be part of the Settlement Class. If you exclude yourself, you have no basis to object because the Settlement and the Action no longer affect you.

## THE COURT'S SETTLEMENT HEARING

### 18. When and where will the Court decide whether to approve the proposed settlement?

The Court will hold the Settlement Hearing at **10:00 a.m. on June 20, 2024**, at the United States District Court for Eastern District of New York, Theodore Roosevelt Court House, 225 Cadman Plaza East, Brooklyn, New York, 11201, Courtroom 11C-South. At this hearing the Court will consider whether: (i) the Settlement is fair, reasonable and adequate, and should receive final approval; (ii) the Plan of Allocation is fair and reasonable, and should be approved; (iii) the Fee and Expense Application is reasonable and should be approved. The Court will take into consideration any written objections filed in accordance with the instructions in question 16 above. We do not know how long it will take the Court to make these decisions.

You should be aware that the Court may change the date and time of the Settlement Hearing, or hold the hearing telephonically, without another notice being sent to Settlement Class Members. If you want to attend the hearing, you should check with Lead Counsel beforehand to be sure that the date and/or time has not changed, or periodically check the Settlement website at [www.PelotonSecuritiesSettlement.com](http://www.PelotonSecuritiesSettlement.com), to see if the Settlement Hearing stays as calendared or is changed.

### 19. Do I have to come to the Settlement Hearing?

No. Lead Counsel will answer any questions the Court may have. But, you are welcome to come at your own expense. If you submit a valid and timely objection, the Court will consider it and you do not have to come to the Court to discuss it. You may have your own lawyer (at your own expense), but it is not required. If you do hire your own lawyer, he or she must file a Notice of Appearance in the manner described in the answer to Question 20 below no later than **May 30, 2024**.

### 20. May I speak at the Settlement Hearing?

If you object to the Settlement, you may ask the Court for permission to speak at the Settlement Hearing. To do so, you must include with your objection (*see* question 16 above) a statement stating that it is your "Notice of Intention to Appear" in *In re Peloton Interactive, Inc. Securities Litigation*, No. 1:21-cv-02369-CBA-PK (E.D.N.Y.). Persons who intend to present evidence at the Settlement Hearing must also include in their written objections the identities of any witnesses they wish to call to testify and any exhibits they intend to introduce into evidence at the Settlement Hearing. Unless otherwise ordered by the Court, you cannot speak at the hearing if you excluded yourself from the Settlement Class or if you have not provided written notice of your intention to speak at the Settlement Hearing by the deadline identified, and in accordance with the procedures described in this Question 20 and Question 16.

## IF YOU DO NOTHING

### 21. What happens if I do nothing at all?

If you do nothing and you are a member of the Settlement Class, you will receive no money from this Settlement and you will be precluded from starting a lawsuit, continuing with a lawsuit, or being part of any other lawsuit against Defendants and the other Defendants' Releasees concerning the Released Claims. To share in the Net Settlement Fund, you must submit a Claim Form (*see* question 9 above). To start, continue, or be part of any other lawsuit against the Defendants and the other Defendants' Releasees concerning the Released Claims in this case, to the extent it is otherwise permissible to do so, you must exclude yourself from this Settlement Class (*see* question 12).

## GETTING MORE INFORMATION

### 22. Are there more details about the proposed Settlement?

This Notice summarizes the proposed Settlement. For the precise terms and conditions of the Settlement, please see the Stipulation available at [www.PelotonSecuritiesSettlement.com](http://www.PelotonSecuritiesSettlement.com), by accessing the Court docket in this case, for a fee, through the Court's Public Access to Court Electronic Records (PACER) system at <https://ecf.nyed.uscourts.gov>, or by visiting the Office of the Clerk of the United States District Court for the Eastern District of New York, Theodore Roosevelt Court House, 225 Cadman Plaza East, Brooklyn, NY 11201, between 9:00 a.m. and 4:00 p.m., Monday through Friday, excluding Court holidays.

PLEASE DO NOT TELEPHONE THE COURT OR THE COURT CLERK'S OFFICE TO INQUIRE ABOUT THIS SETTLEMENT OR THE CLAIM PROCESS.

You can also get a copy of the Stipulation, and other documents related to the Settlement, as well as additional information about the Settlement by visiting the website dedicated to the Settlement, [www.PelotonSecuritiesSettlement.com](http://www.PelotonSecuritiesSettlement.com); writing to the Claims Administrator at [Info@PelotonSecuritiesSettlement.com](mailto:Info@PelotonSecuritiesSettlement.com); or by calling the Claims Administrator toll free at 1-855-518-3039.

### **PROPOSED PLAN OF ALLOCATION OF NET SETTLEMENT FUND AMONG SETTLEMENT CLASS MEMBERS**

The Plan of Allocation is a matter separate and apart from the proposed Settlement, and any decision by the Court concerning the Plan of Allocation shall not affect the validity or finality of the proposed Settlement. The Court may approve the Plan of Allocation with or without modifications agreed to among the Parties, or may approve another plan of allocation, without further notice to Settlement Class Members.

The objective of the Plan of Allocation is to equitably distribute the Net Settlement Fund among Authorized Claimants based on their respective alleged economic losses as a result of the alleged fraud, as opposed to losses caused by market- or industry-wide factors, or Company-specific factors unrelated to the alleged fraud. The Claims Administrator shall determine each Authorized Claimant's share of the Net Settlement Fund based upon the recognized loss formula (the "Recognized Loss") described below. A Recognized Loss will be calculated for each share of Peloton Common Stock and each Peloton Call Option purchased or otherwise acquired during the Settlement Class Period, and each Peloton Put Option sold during the Settlement Class Period.<sup>3</sup> The calculation of Recognized Loss will depend upon several factors, including when the Peloton Security was purchased during the Settlement Class Period, and for what amount, and whether the security was sold, and if sold, when it was sold, and for what amount. The Recognized Loss is not intended to estimate the amount a Settlement Class Member might have been able to recover after a trial, nor to estimate the amount that will be paid to Authorized Claimants pursuant to the Settlement. The Recognized Loss is the basis upon which the Net Settlement Fund will be proportionately allocated to the Authorized Claimants. The Claims Administrator will use its best efforts to administer and distribute the Net Settlement Fund to the extent that it is equitably and economically feasible.

The Plan of Allocation was created with the assistance of a consulting damages expert, and reflects the assumption that the price of Peloton Common Stock was artificially inflated throughout the Settlement Class Period.<sup>4</sup> The estimated alleged artificial inflation in the price of Peloton Common Stock during the Settlement Class Period is reflected in Table 1 below. The computation of the estimated alleged artificial inflation in the price of Peloton Common Stock during the Settlement Class Period is based on certain misrepresentations alleged by Lead Plaintiff and the price change in the stock, net of market- and industry-wide factors, in reaction to the public announcements that allegedly corrected the misrepresentations alleged by Lead Plaintiff.

Federal securities laws allow investors to recover for losses caused by disclosures which corrected the defendants' previous misleading statements or omissions. Thus, in order to have been damaged by the alleged violations of the federal securities laws, Peloton Common Stock purchased or otherwise acquired during the Settlement Class Period must have been held during a period of time in which its price declined due to the disclosure of information which allegedly corrected a misleading statement or omission. Lead Plaintiff and Lead Counsel have determined that such price declines occurred on March 18, 2021, April 19, 2021, and May 5, 2021 (the "Corrective Disclosure Dates"). Accordingly, if a share of Peloton Common Stock was sold before March 18, 2021 (the earliest Corrective Disclosure Date), the Recognized Loss for that share is \$0.00, and any loss suffered is not compensable under the federal securities laws. Likewise, if a share of Peloton Common Stock was both purchased and sold between two consecutive Corrective Disclosure Dates, the Recognized Loss for that share is \$0.00. With respect to Peloton Call Options, in order for a Settlement Class Member to have a Recognized Loss under the Plan of Allocation, the Peloton Call Option must have been purchased or acquired during the Settlement Class Period and held on at least one of the Corrective Disclosure Dates. With respect to Peloton Put Options, the Peloton Put Option must have been sold (written) during the Settlement Class Period and not closed on at least one of the Corrective Disclosure Dates.

<sup>3</sup> Peloton Common Stock, Peloton Call Options, and Peloton Put Options are collectively referred to herein as "Peloton Securities."

<sup>4</sup> During the Settlement Class Period, Peloton Common Stock was listed on the NASDAQ Global Select under the symbol "PTON."

**Table 1**  
**Artificial Inflation in Peloton Common Stock**

From	To	Per-Share Price Inflation
September 11, 2020	March 17, 2021	\$22.84
March 18, 2021 <sup>5</sup>	April 18, 2021	\$19.71
April 19, 2021	May 4, 2021	\$13.23
May 5, 2021 <sup>6</sup>	Thereafter	\$0.00

The “90-day look back” provision of the Private Securities Litigation Reform Act of 1995 (“PSLRA”) is incorporated into the calculation of the Recognized Loss. The limitations on the calculation of the Recognized Loss imposed by the PSLRA are applied such that losses on Peloton Common Stock purchased during the Settlement Class Period and held as of the close of the 90-day period subsequent to the Settlement Class Period (the “90-Day Lookback Period”) cannot exceed the difference between the purchase price paid for such stock and the average price of Peloton Common Stock during the 90-Day Lookback Period. The Recognized Loss on Peloton Common Stock purchased during the Settlement Class Period and sold during the 90-Day Lookback Period cannot exceed the difference between the purchase price paid for such stock and the rolling average price of Peloton Common Stock during the portion of the 90-Day Lookback Period elapsed as of the date of sale.

In the calculations below, all purchase and sale prices shall exclude any fees, taxes and commissions. If a Recognized Loss amount is calculated to be a negative number, that Recognized Loss shall be set to zero (\$0.00). Any transaction in a Peloton Security executed outside of regular trading hours for the U.S. financial markets shall be deemed to have occurred during the next regular trading session.

#### Calculation of Recognized Loss Per Share of Peloton Common Stock

For each share of Peloton Common Stock purchased or otherwise acquired during the Settlement Class Period (i.e., September 11, 2020 through May 5, 2021, inclusive), the Recognized Loss per share shall be calculated as follows:

- I. For each share of Peloton Common Stock purchased between September 11, 2020 through May 5, 2021, at 9:57 a.m. ET, inclusive,
  - a. that was sold prior to May 5, 2021, at 9:57 a.m. ET, the Recognized Loss per share is the price inflation on the date of purchase/acquisition as provided in Table 1 above *minus* the price inflation on the date of sale as provided in Table 1 above.
  - b. that was sold during the period May 5, 2021, at 9:57 a.m. ET, through August 2, 2021, inclusive, the Recognized Loss per share is *the lesser* of:
    - i. the price inflation on the date of purchase/acquisition as provided in Table 1 above; or
    - ii. the purchase price minus the “90-Day Lookback Value” on the date of sale, which is provided in Table 2 below.
  - c. that was still held as of the close of trading on August 2, 2021, the Recognized Loss per share is the *lesser* of:
    - i. the price inflation on the date of purchase/acquisition as provided in Table 1 above; or
    - ii. the purchase price minus the average closing price for the Common Stock during the 90-Day Lookback Period, which is \$110.40.
- II. For each share of Peloton Common Stock purchased or otherwise acquired after May 5, 2021, at 9:57 a.m. ET, the Recognized Loss per share is \$0.00.

<sup>5</sup> The alleged disclosure of information, which allegedly corrected a misleading statement or omission on March 18, 2021, occurred at approximately 12:52 p.m. Purchases and sales of Peloton Common Stock on March 18, 2021 at a price above \$105.00 shall be considered to have occurred prior to the alleged corrective disclosure that day, at \$22.84 per-share price inflation. Purchases and sales of Peloton Common Stock on March 18, 2021 at a price equal to or below \$105.00 shall be considered to have occurred after the alleged corrective disclosure that day, at \$19.71 per-share price inflation.

<sup>6</sup> The alleged disclosure of information which allegedly corrected a misleading statement or omission on May 5, 2021, occurred at approximately 9:57 a.m. Purchases and sales of Peloton Common Stock on May 5, 2021 at a price above \$94.00 shall be considered to have occurred prior to the alleged corrective disclosure that day, at \$13.23 per-share price inflation. Purchases and sales of Peloton Common Stock on May 5, 2021 at a price equal to or below \$94.00 shall be considered to have occurred after the alleged corrective disclosure that day, at \$0.00 per-share price inflation.

Table 2					
Sale/ Disposition Date	90-Day Lookback Value	Sale/ Disposition Date	90-Day Lookback Value	Sale/ Disposition Date	90-Day Lookback Value
5/5/2021	\$82.62	6/4/2021	\$97.82	7/6/2021	\$106.25
5/6/2021	\$83.20	6/7/2021	\$98.34	7/7/2021	\$106.65
5/7/2021	\$83.40	6/8/2021	\$98.81	7/8/2021	\$107.03
5/10/2021	\$84.43	6/9/2021	\$99.14	7/9/2021	\$107.27
5/11/2021	\$85.74	6/10/2021	\$99.40	7/12/2021	\$107.55
5/12/2021	\$86.34	6/11/2021	\$99.91	7/13/2021	\$107.80
5/13/2021	\$87.62	6/14/2021	\$100.35	7/14/2021	\$107.92
5/14/2021	\$88.74	6/15/2021	\$100.54	7/15/2021	\$107.98
5/17/2021	\$89.14	6/16/2021	\$100.70	7/16/2021	\$108.03
5/18/2021	\$89.74	6/17/2021	\$100.96	7/19/2021	\$108.23
5/19/2021	\$90.36	6/18/2021	\$101.21	7/20/2021	\$108.57
5/20/2021	\$91.20	6/21/2021	\$101.42	7/21/2021	\$108.90
5/21/2021	\$91.95	6/22/2021	\$101.88	7/22/2021	\$109.10
5/24/2021	\$92.61	6/23/2021	\$102.33	7/23/2021	\$109.32
5/25/2021	\$93.06	6/24/2021	\$102.87	7/26/2021	\$109.56
5/26/2021	\$94.09	6/25/2021	\$103.38	7/27/2021	\$109.76
5/27/2021	\$95.18	6/28/2021	\$104.00	7/28/2021	\$109.97
5/28/2021	\$96.02	6/29/2021	\$104.55	7/29/2021	\$110.10
6/1/2021	\$96.70	6/30/2021	\$105.04	7/30/2021	\$110.23
6/2/2021	\$97.29	7/1/2021	\$105.46	8/2/2021	\$110.40
6/3/2021	\$97.57	7/2/2021	\$105.84	N/A	N/A

### Calculation of Recognized Loss Per Peloton Call Option

The Recognized Loss shall be \$0.00 for each Peloton Call Option that was not held on at least one of the Corrective Disclosure Dates as defined above. For all other Peloton Call Options purchased or otherwise acquired during the Settlement Class Period and held on at least one of the Corrective Disclosure Dates, the Recognized Loss per option shall be calculated as follows:

- I. For each Peloton Call Option that was sold prior to May 5, 2021, the Recognized Loss is the purchase price *minus* the sale price.
- II. For each Peloton Call Option exercised prior to May 5, 2021, the Recognized Loss is the purchase price *minus* the intrinsic value of the Peloton Call Option on the date of exercise, where the intrinsic value shall be *the greater of*: (i) \$0.00 or (ii) the closing price of Common Stock on the date of exercise *minus* the strike price of the option.
- III. For each Peloton Call Option that expired unexercised prior to May 5, 2021, the Recognized Loss is equal to the purchase price.
- IV. For each Peloton Call Option that was still held as of May 5, 2021, the Recognized Loss is the purchase price *minus* the intrinsic value of the Peloton Call Option as of the close of trading on May 5, 2021, where the intrinsic value shall be *the greater of*: (i) \$0.00 or (ii) \$82.62<sup>7</sup> *minus* the strike price of the option.

No Recognized Loss shall be calculated based upon purchase or acquisition of any Peloton Call Option that had been previously sold or written.

<sup>7</sup> \$82.62 is the closing price of the Common Stock on May 5, 2021.

### Calculation of Recognized Loss Per Peloton Put Option

The Recognized Loss shall be \$0.00 for each Peloton Put Option that was not open (*i.e.*, not outstanding) on at least one of the Corrective Disclosure Dates as defined above. For all other Peloton Put Options sold (*i.e.*, written) during the Settlement Class Period and open on at least one of the Corrective Disclosure Dates, the Recognized Loss per option shall be calculated as follows:

- I. For each Peloton put option that was subsequently purchased prior to May 5, 2021, the Recognized Loss is the purchase price *minus* the sale price.
- II. For each Peloton put option that was subsequently exercised (*i.e.*, assigned) prior to May 5, 2021, the Recognized Loss is the intrinsic value of the Peloton put option on the date of exercise *minus* the sale price, where the intrinsic value shall be *the greater of*: (i) \$0.00 or (ii) the strike price of the option *minus* the closing price of the common stock on the date of exercise.
- III. For each Peloton put option that expired unexercised prior to the May 5, 2021, the Recognized Loss shall be \$0.00.
- IV. For each Peloton put option that was still open as of May 5, 2021, the Recognized Loss is the intrinsic value of the Peloton put option as of the close of trading on May 5, 2021 *minus* the sale price, where the intrinsic value shall be *the greater of*: (i) \$0.00 or (ii) the strike price of the option *minus* \$82.62.

No Recognized Loss shall be calculated based upon the sale or writing of any Peloton Put Option that had been previously purchased or acquired.

Maximum Recovery for Options: Settlement proceeds available for Peloton Call Options purchased during the Settlement Class Period and Peloton Put Options written during the Settlement Class Period shall be limited to a total amount equal to 3.0% of the Net Settlement Fund.<sup>8</sup>

### INSTRUCTIONS APPLICABLE TO ALL CLAIMANTS

The payment you receive will reflect your proportionate share of the Net Settlement Fund. Such payment will depend on the number of securities that participate in the Settlement, and when those securities were purchased and sold. The number of claimants who send in claims varies widely from case to case.

A purchase or sale of a Peloton Security shall be deemed to have occurred on the “contract” or “trade” date as opposed to the “settlement” or “payment” date.

Acquisition by Gift, Inheritance, or Operation of Law: If a Settlement Class Member acquired a Peloton Security during the Settlement Class Period by way of gift, inheritance or operation of law, such a claim will be computed by using the date and price of the original purchase and not the date and price of transfer. To the extent that a Peloton Security was originally purchased prior to commencement of the Settlement Class Period, the Recognized Loss for that acquisition shall be deemed to be zero (\$0.00).

Notwithstanding any of the above, receipt of a Peloton Security during the Settlement Class Period in exchange for securities of any other corporation or entity shall not be deemed a purchase or sale of a Peloton Security.

The first-in-first-out (“FIFO”) basis will be applied to purchases and sales. Sales will be matched in chronological order, by trade date, first against Peloton Securities held as of the close of trading on September 10, 2020 (the last day before the Settlement Class Period begins) and then against the purchases of like Peloton Securities during the Settlement Class Period beginning with the earliest purchase during the Settlement Class Period.

The date of covering a “short sale” is deemed to be the date of purchase of shares. The date of a “short sale” is deemed to be the date of sale of shares. In accordance with the Plan of Allocation, however, the Recognized Loss on “short sales” is zero. In the event that a claimant has an opening short position in Peloton Common Stock, the earliest Settlement Class Period purchases shall be matched against such opening short position and not be entitled to a recovery until that short position is fully covered.

<sup>8</sup> Peloton Call and Put Option trading accounted for less than 3.0% of total dollar trading volume for Peloton Securities during the Settlement Class Period. As such, claims for Peloton Call and Put Option transactions are allotted 3.0% of the Net Fund Settlement Fund pursuant to the Plan of Allocation.

With respect to Peloton Common Stock purchased or sold through the exercise of an option, the purchase/sale date of the stock shall be the exercise date of the option and the purchase/sale price of the stock shall be the strike price of the option. Any Recognized Loss arising from purchases of Peloton Common Stock acquired during the Settlement Class Period through the exercise of an option on Peloton Common Stock<sup>9</sup> shall be computed as provided for other purchases of Peloton Common Stock in the Plan of Allocation.

Payment according to the Plan of Allocation will be deemed conclusive against all Authorized Claimants. A Recognized Loss will be calculated as defined herein and cannot be less than zero. The Claims Administrator shall allocate to each Authorized Claimant a *pro rata* share of the Net Settlement Fund based on his, her, or its total Recognized Loss as compared to the total Recognized Losses of all Authorized Claimants. No distribution will be made to Authorized Claimants who would otherwise receive a distribution of less than \$10.00.

Settlement Class Members who do not submit an acceptable Proof of Claim and Release Form will not share in the Settlement proceeds. The Settlement and the Final Order and Judgment dismissing this Action with prejudice will nevertheless bind Settlement Class Members who do not submit a request for exclusion and/or submit an acceptable Proof of Claim and Release Form.

Please contact the Claims Administrator or Lead Counsel if you disagree with any determinations made by the Claims Administrator regarding your Proof of Claim. If you are unsatisfied with the determinations, you may ask the Court, which retains jurisdiction over all Class Members and the claims-administration process, to decide the issue by submitting a written request.

The Defendants, their respective counsel, and all other Released Parties will have no responsibility or liability whatsoever for the processing of Proof of Claim and Release Forms, the investment of the Settlement Fund, the distribution of the Net Settlement Fund, the Plan of Allocation, or the payment of any claim. Lead Plaintiff and Lead Counsel, likewise, will have no liability for their reasonable efforts to execute, administer, and distribute the Settlement.

Distributions will be made to Authorized Claimants after all claims have been processed and after the Court has finally approved the Settlement. If any funds remain in the Net Settlement Fund by reason of uncashed distribution checks or otherwise, then, after the Claims Administrator has made reasonable and diligent efforts to have Class Members who are entitled to participate in the distribution of the Net Settlement Fund cash their distributions, any balance remaining in the Net Settlement Fund after at least six (6) months after the initial distribution of such funds will be used in the following fashion: (a) first, to pay any amounts mistakenly omitted from the initial disbursement; (b) second, to pay any additional settlement administration fees, costs, and expenses, including those of Lead Counsel or the Claims Administrator as may be approved by the Court; and (c) finally, to make a second distribution to claimants who cashed their checks from the initial distribution and who would receive at least \$10.00, after payment of the estimated costs, expenses, or fees to be incurred in administering the Net Settlement Fund and in making this second distribution, if such second distribution is economically feasible. These redistributions shall be repeated, if economically feasible, until the balance remaining in the Net Settlement Fund is *de minimis* and such remaining balance will then be distributed to a non-sectarian, not-for-profit organization identified by Lead Counsel.

#### **SPECIAL NOTICE TO SECURITIES BROKERS AND OTHER NOMINEES**

If you purchased Peloton securities between September 11, 2020 and May 5, 2021 for the beneficial interest of a person or organization other than yourself, the Court has directed that WITHIN TEN (10) CALENDAR DAYS OF YOUR RECEIPT OF THE POSTCARD NOTICE, YOU MUST EITHER: (a) request from the Claims Administrator sufficient copies of the Postcard Notice to forward to all such beneficial owners and WITHIN TEN (10) CALENDAR DAYS after receipt thereof forward them to all such beneficial owners; or (b) WITHIN TEN (10) CALENDAR DAYS of receipt of the Postcard Notice, provide a list of the names, addresses, and email addresses (to the extent known) to the Claims Administrator. You are entitled to reimbursement from the Settlement Fund of your reasonable expenses actually incurred in connection with the foregoing, including reimbursement of postage expense and the cost of ascertaining the names and addresses of beneficial owners. Those expenses will be paid upon request and submission of appropriate supporting documentation. All communications concerning the foregoing should be addressed to the Claims Administrator:

*In re Peloton Interactive, Inc. Securities Litigation*  
Epiq Systems, Inc.  
PO Box 2915  
Portland, OR 97208-2915

Dated: March 13, 2024

<sup>9</sup> Including (1) purchases of Peloton Common Stock as the result of the exercise of a call option, and (2) purchases of Peloton Common Stock by the seller of a put option as a result of the buyer of such put option exercising that put option.

*Peloton Interactive Securities Litigation*  
Epiq Systems, Inc.  
PO Box 2915  
Portland, OR 97208-2915

**PROOF OF CLAIM AND RELEASE FORM**

**This Proof of Claim and Release form (“Claim Form”) applies to Persons who purchased or otherwise acquired Peloton’s securities between September 11, 2020 and May 5, 2021, inclusive, and who suffered damages thereby.<sup>1</sup>**

**I. GENERAL INSTRUCTIONS**

1. To recover as a Member of the Settlement Class based on your claims in the action entitled *In re Peloton Interactive, Inc. Securities Litigation*, No. 1:21-cv-02369-CBA-PK (E.D.N.Y.) (the “Action”), you must complete and, on page 10 hereof, sign this Claim Form. If you fail to submit a timely and properly addressed (as set forth in paragraph 3 below) this Claim Form along with the requested supporting documentation, your claims may be rejected and you may not receive any recovery from the Settlement Fund created in connection with the proposed Settlement of the Action.
2. Submission of this Claim Form, however, does not assure that you will share in proceeds of the Settlement of the Action.
3. **YOU MUST SUBMIT YOUR COMPLETED AND SIGNED CLAIM FORM AND THE SUPPORTING DOCUMENTS REQUESTED HEREIN NO LATER THAN MAY 21, 2024, TO THE CLAIMS ADMINISTRATOR, BY ONE OF THE FOLLOWING METHODS:**

Electronically at [www.PelotonSecuritiesSettlement.com](http://www.PelotonSecuritiesSettlement.com)

Via email to [Info@PelotonSecuritiesSettlement.com](mailto:Info@PelotonSecuritiesSettlement.com)

By mail to (postmarked by May 21, 2024):

*In re Peloton Interactive Securities Litigation*  
Epiq Systems, Inc.  
PO Box 2915  
Portland, OR 97208-2915

If you are NOT a member of the Settlement Class (as defined in the Notice), DO NOT submit a Proof of Claim form. Also, NOTE THAT CLAIMS CALCULATING TO AN AWARD AMOUNT OF LESS THAN \$10.00 WILL NOT BE PAID.

4. If you are a member of the Settlement Class and you did not timely request exclusion from the Settlement Class, you will be bound by the terms of any judgment entered in the Action, including the releases provided herein, WHETHER OR NOT YOU SUBMIT A CLAIM FORM.

**II. CLAIMANT IDENTIFICATION**

You are a Settlement Class Member if you purchased or otherwise acquired Peloton publicly traded common stock or call options, or sold (wrote) Peloton publicly traded put options, between September 11, 2020 and May 5, 2021, inclusive, and suffered damages thereby. Excluded from the Settlement Class are (i) Defendants; (ii) current and former officers and directors of Peloton; (iii) members of the immediate family of each of the Individual Defendants; (iv) all subsidiaries and affiliates of Peloton and the directors and officers of Peloton and their respective subsidiaries and affiliates; (v) all persons, firms, trusts, corporations, officers, directors, and any other individual or entity in which any Defendant has a controlling interest; (vi) the legal representatives, agents, affiliates, heirs, successors-in-interest or assigns of all such excluded parties; and (vii) any persons or entities who properly exclude themselves by filing a valid and timely request for exclusion.

If you purchased or otherwise acquired Peloton securities and held the certificate(s) in your name, you are the beneficial purchaser as well as the record purchaser. If, however, the certificate(s) was registered in the name of a third party, such as a nominee or brokerage firm, you are the beneficial purchaser, and the third party is the record purchaser.

<sup>1</sup> All capitalized terms not otherwise defined in this document shall have the meaning provided in the Stipulation and Agreement of Settlement dated April 17, 2023 (the “Stipulation”).

Use Part I of this form entitled “Claimant Information” to identify yourself and each owner of record (“nominee”) if different from the beneficial owner of the Peloton securities that form the basis of this claim. THIS CLAIM MUST BE FILED BY THE ACTUAL BENEFICIAL PURCHASER(S) OR ACQUIRER(S), OR THE LEGAL REPRESENTATIVE OF SUCH PURCHASER(S) OR ACQUIRER(S) OF THE PELOTON SECURITIES UPON WHICH THIS CLAIM IS BASED.

All joint purchasers or acquirers must sign this Claim Form. Executors, administrators, guardians, conservators, and trustees must complete and sign this Claim Form on behalf of persons represented by them and their authority must accompany this claim *and* their titles or capacities must be stated. The Social Security (or taxpayer identification) number and telephone number of the beneficial owner may be used in verifying the claim. Failure to provide the foregoing information could delay verification of your claim or result in rejection of the claim.

If you are acting in a representative capacity on behalf of a member of the Settlement Class (for example, as an executor, administrator, trustee, or other representative), you must submit evidence of your current authority to act on behalf of that member of the Settlement Class. Such evidence would include, for example, letters testamentary, letters of administration, or a copy of the trust documents.

**NOTICE REGARDING ELECTRONIC FILES:** Certain claimants with large numbers of transactions may request, or may be requested, to submit information regarding their transactions in electronic files. All claimants **MUST** submit a signed Claim Form listing all their transactions whether or not they also submit electronic copies. If you wish to file your claim electronically, you must contact the Claims Administrator at [info@PelotonSecuritiesSettlement.com](mailto:info@PelotonSecuritiesSettlement.com) or visit their website at [www.PelotonSecuritiesSettlement.com](http://www.PelotonSecuritiesSettlement.com) to obtain the required file layout. No electronic files will be considered to have been properly submitted unless the Claims Administrator issues to the claimant a written acknowledgment of receipt and acceptance of electronically submitted data.

### **III. CLAIM FORM**

Use Part II of this form entitled “Schedule of Transactions in Peloton Common Stock,” to supply all required details of your transaction(s) in Peloton publicly traded common stock. Use Part III of this form entitled “Schedule of Transactions in Peloton Call Option Contracts” to supply all required details of your transaction(s) in Peloton publicly traded call options. Use Part IV of this form entitled “Schedule of Transactions in Peloton Put Option Contracts” to supply all required details of your transaction(s) in Peloton publicly traded put options. If you need more space or additional schedules, attach separate sheets giving all of the required information in substantially the same form. Sign and print or type your name on each additional sheet.

On the schedules, provide all the requested information with respect to: (1) all of your transactions in Peloton publicly traded common stock that took place between September 11, 2020 and August 2, 2021, inclusive; (2) all of your transactions in Peloton publicly traded call and put options that took place between September 11, 2020 and May 5, 2021, inclusive; (3) the number of shares of Peloton publicly traded common stock and call options that you held, and put options that you wrote that were still outstanding, at the opening of trading on September 11, 2020; (4) the number of shares of Peloton publicly traded common stock that you held at the close of trading on August 2, 2021; and (5) the number of Peloton publicly traded call options that you held, and put options that you wrote that were still outstanding, at the close of trading on May 5, 2021. Failure to report all such transactions may result in the rejection of your claim.

List each transaction separately and in chronological order, by trade date, beginning with the earliest. You must accurately provide the month, day, and year of each transaction you list.

The date of covering a “short sale” is deemed to be the date of purchase of Peloton publicly traded common stock. The date of a “short sale” is deemed to be the date of sale of Peloton publicly traded common stock.

For each transaction, you must provide, together with this Claim Form, copies of stockbroker confirmations slips, stockbroker statements, or other documents adequately evidencing your transactions in Peloton publicly traded common stock and/or options. If any such documents are not in your possession, please obtain a copy or equivalent documents from your broker because these documents are necessary to prove and process your claim. Failure to provide this documentation could delay verification of your claim or result in rejection of your claim.

**PELTON INTERACTIVE, INC. SECURITIES LITIGATION**

**PART I. CLAIMANT INFORMATION**

Beneficial Owner's First Name	MI	Beneficial Owner's Last Name
<input type="text"/>	<input type="text"/>	<input type="text"/>

Co-Beneficial Owner's First Name	MI	Co-Beneficial Owner's Last Name
<input type="text"/>	<input type="text"/>	<input type="text"/>

Entity Name (if Beneficial Owner is not an individual)

Representative or Custodian Name (if different from Beneficial Owner[s] listed above)

Address 1 (street name and number)

Address 2 (apartment, unit or box number)

City	State	ZIP Code
<input type="text"/>	<input type="text"/>	<input type="text"/> - <input type="text"/>

Country

Last four digits of Social Security Number or Taxpayer Identification Number

Telephone Number (Day)	Telephone Number (Evening)
<input type="text"/> - <input type="text"/> - <input type="text"/>	<input type="text"/> - <input type="text"/> - <input type="text"/>

Email address (Email address is not required, but if you provide it you authorize the Claims Administrator to use it in providing you with information relevant to this claim)

Account Number (where securities were traded)

Claimant Account Type (check appropriate box)

<input type="checkbox"/> Individual	<input type="checkbox"/> IRA/401K	<input type="checkbox"/> Estate
<input type="checkbox"/> Joint	<input type="checkbox"/> Pension Plan	<input type="checkbox"/> Trust
<input type="checkbox"/> Corporation	<input type="checkbox"/> Other _____ (please specify)	



**PART III. SCHEDULE OF TRANSACTIONS IN PELOTON CALL OPTION CONTRACTS**

**Beginning Holdings:**

A. Separately list all positions in Peloton Call Option contracts in which you had an open interest as of the opening of trading on September 11, 2020 (*must be documented*):

Strike Price of Call Option Contract	Expiration Date of Call Option Contract (Month/Day/Year)	Options Class Symbol	Purchase Price Per Contract	Number of Call Option Contracts in Which You Had an Open Interest (including any short Holdings)
[ ][ ] . [ ][ ]	[ ][ ] [ ][ ] [ ][ ]	[ ][ ] [ ][ ] [ ][ ]	[ ][ ] [ ][ ] . [ ][ ]	[ ][ ] [ ][ ] [ ][ ] [ ][ ]
[ ][ ] [ ][ ] . [ ][ ]	[ ][ ] [ ][ ] [ ][ ]	[ ][ ] [ ][ ] [ ][ ]	[ ][ ] [ ][ ] . [ ][ ]	[ ][ ] [ ][ ] [ ][ ] [ ][ ]
[ ][ ] [ ][ ] . [ ][ ]	[ ][ ] [ ][ ] [ ][ ]	[ ][ ] [ ][ ] [ ][ ]	[ ][ ] [ ][ ] . [ ][ ]	[ ][ ] [ ][ ] [ ][ ] [ ][ ]
[ ][ ] [ ][ ] . [ ][ ]	[ ][ ] [ ][ ] [ ][ ]	[ ][ ] [ ][ ] [ ][ ]	[ ][ ] [ ][ ] . [ ][ ]	[ ][ ] [ ][ ] [ ][ ] [ ][ ]

**Purchases:**

B. Separately list each and every purchase/acquisition (including free receipts) of Peloton Call Option contracts during the period from September 11, 2020 to May 5, 2021, inclusive, and provide the following information (*must be documented*):

Purchase or Acquisition Date (List Chronologically) (Month/Day/Year)	Strike Price of Call Option Contract	Expiration Date of Call Option Contract (Month/Day/Year)	Options Class Symbol	Number of Call Options Contracts Purchased/Acquired	[X] Expired [E] Exercised	Purchase Price Per Contract	Exercised Date (Month/Day/Year)
[ ][ ] [ ][ ] [ ][ ]	[ ][ ] [ ][ ] . [ ][ ]	[ ][ ] [ ][ ] [ ][ ]	[ ][ ] [ ][ ] [ ][ ]	[ ][ ] [ ][ ] [ ][ ] [ ][ ]	[ ][ ] [ ][ ]	[ ][ ] [ ][ ] [ ][ ] . [ ][ ]	[ ][ ] [ ][ ] [ ][ ] [ ][ ]
[ ][ ] [ ][ ] [ ][ ]	[ ][ ] [ ][ ] . [ ][ ]	[ ][ ] [ ][ ] [ ][ ]	[ ][ ] [ ][ ] [ ][ ]	[ ][ ] [ ][ ] [ ][ ] [ ][ ]	[ ][ ] [ ][ ]	[ ][ ] [ ][ ] [ ][ ] . [ ][ ]	[ ][ ] [ ][ ] [ ][ ] [ ][ ]
[ ][ ] [ ][ ] [ ][ ]	[ ][ ] [ ][ ] . [ ][ ]	[ ][ ] [ ][ ] [ ][ ]	[ ][ ] [ ][ ] [ ][ ]	[ ][ ] [ ][ ] [ ][ ] [ ][ ]	[ ][ ] [ ][ ]	[ ][ ] [ ][ ] [ ][ ] . [ ][ ]	[ ][ ] [ ][ ] [ ][ ] [ ][ ]
[ ][ ] [ ][ ] [ ][ ]	[ ][ ] [ ][ ] . [ ][ ]	[ ][ ] [ ][ ] [ ][ ]	[ ][ ] [ ][ ] [ ][ ]	[ ][ ] [ ][ ] [ ][ ] [ ][ ]	[ ][ ] [ ][ ]	[ ][ ] [ ][ ] [ ][ ] . [ ][ ]	[ ][ ] [ ][ ] [ ][ ] [ ][ ]

**Sales:**

C. Separately list each and every sale/disposition (including free deliveries) of Peloton Call Option contracts during the period between September 11, 2020 and May 5, 2021, inclusive, and provide the following information (*must be documented*):

Date of Sale (List Chronologically) (Month/Day/Year)	Strike Price of Call Option Contract	Expiration Date of Call Option Contract (Month/Day/Year)	Options Class Symbol	Sale Price Per Contract	Number of Call Option Contracts Sold
[ ][ ] [ ][ ] [ ][ ]	[ ][ ] [ ][ ] . [ ][ ]	[ ][ ] [ ][ ] [ ][ ]	[ ][ ] [ ][ ] [ ][ ]	[ ][ ] [ ][ ] [ ][ ] . [ ][ ]	[ ][ ] [ ][ ] [ ][ ] [ ][ ]
[ ][ ] [ ][ ] [ ][ ]	[ ][ ] [ ][ ] . [ ][ ]	[ ][ ] [ ][ ] [ ][ ]	[ ][ ] [ ][ ] [ ][ ]	[ ][ ] [ ][ ] [ ][ ] . [ ][ ]	[ ][ ] [ ][ ] [ ][ ] [ ][ ]
[ ][ ] [ ][ ] [ ][ ]	[ ][ ] [ ][ ] . [ ][ ]	[ ][ ] [ ][ ] [ ][ ]	[ ][ ] [ ][ ] [ ][ ]	[ ][ ] [ ][ ] [ ][ ] . [ ][ ]	[ ][ ] [ ][ ] [ ][ ] [ ][ ]
[ ][ ] [ ][ ] [ ][ ]	[ ][ ] [ ][ ] . [ ][ ]	[ ][ ] [ ][ ] [ ][ ]	[ ][ ] [ ][ ] [ ][ ]	[ ][ ] [ ][ ] [ ][ ] . [ ][ ]	[ ][ ] [ ][ ] [ ][ ] [ ][ ]

**Ending Holdings:**

D. Separately list all positions in Peloton Call Option contracts in which you had an open interest as of the close of trading on May 5, 2021, long or short (*must be documented*):

Strike Price of Call Option Contract	Expiration Date of Call Option Contract (Month/Day/Year)	Options Class Symbol	Price Per Contract	Number of Call Option Contracts in Which You Had an Open Interest
<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>

**PART IV. SCHEDULE OF TRANSACTIONS IN PELOTON PUT OPTION CONTRACTS**

**Beginning Holdings:**

A. Separately list all positions in Peloton Put Option contracts in which you had an open interest as of the opening of trading on September 11, 2020, long or short (*must be documented*):

Strike Price of Put Option Contract	Expiration Date of Put Option Contract (Month/Day/Year)	Options Class Symbol	Purchase Price Per Contract	Number of Put Option Contracts in Which You Had an Open Interest (including any short holdings)
<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>

**Sales:**  
 B. Separately list each and every sale (writing) (including free deliveries) of Peloton Put Option contracts during the period from September 11, 2020 to May 5, 2021, inclusive, and provide the following information (*must be documented*):

Date of Writing/Sale (List Chronologically) (Month/Day/Year)	Strike Price of Put Option Contract	Expiration Date of Put Option Contract (Month/Day/Year)	Options Class Symbol	Number of Put Option Contracts Sold (Written)	[X]Expired [ ]Assigned	Sale Price Per Contract	Exercise Date (Month/Day/Year)

**Purchases:**  
 C. Separately list each and every purchase/acquisition (including free receipts) of Peloton Put Option contracts during the period between September 11, 2020 and May 5, 2021, inclusive, and provide the following information (*must be documented*):

Date of Purchase/Acquisition (List Chronologically) (Month/Day/Year)	Strike Price of Put Option Contract	Expiration Date (Month/Day/Year)	Options Class Symbol	Price Per Contract	Number of Put Option Contracts Purchased/Acquired

**Ending Holdings:**  
 D. Separately list all positions in Peloton Put Option contracts in which you had an open interest at the close of trading on May 5, 2021 (*must be documented*):

Strike Price of Put Option Contract	Expiration Date of Put Option Contract (Month/Day/Year)	Options Class Symbol	Price Per Contract	Number of Put Option Contracts in Which You Had an Open Interest

If additional space is needed, attach separate, numbered sheets, giving all required information, substantially in the same format, and print your name and Social Security or Taxpayer Identification Number at the top of each sheet. NOTE THAT CLAIMS CALCULATING TO AN AWARD AMOUNT LESS THAN \$10.00 WILL NOT BE PAID.

**YOU MUST READ THE RELEASE AND SIGN BELOW. FAILURE TO SIGN MAY RESULT IN A DELAY IN PROCESSING OR THE REJECTION OF YOUR CLAIM.**



5. "Releasee(s)" means each and any of the Defendants' Releasees and each and any of the Plaintiffs' Releasees.
6. "Defendants' Releasees" means Defendants, and any and all of their related parties in any forum, including, without limitation, any and all of their current, former, or future parents, subsidiaries, affiliates, predecessors, successors, divisions, investment funds, joint ventures and general or limited partnerships, and each of their respective current or former officers, directors, trustees, partners, shareholders, owners, members, contractors, subcontractors, auditors, principals, agents, managing agents, employees, attorneys, accountants, investment bankers, underwriters, co-insurers or insurers in their capacities as such, as well as each of the Individual Defendants' Immediate Family members, heirs, executors, personal or legal representatives, estates, beneficiaries, predecessors, successors and assigns.
7. "Plaintiffs' Releasees" means (i) Lead Plaintiff, his attorneys, and all other Settlement Class Members; (ii) affiliates, current and former parents, subsidiaries, successors, predecessors, assigns, executors, administrators, representatives, attorneys, and agents of each of the foregoing in (i); and (iii) the current and former officers, directors, Immediate Family members, heirs, trusts, trustees, executors, estates, administrators, beneficiaries, agents, affiliates, insurers, reinsurers, predecessors, successors, assigns, and advisors of each of the persons or entities listed in (i) and (ii), in their capacities as such.
8. "Unknown Claims" means any Released Plaintiffs' Claims which any Lead Plaintiff or any other Settlement Class Member does not know or suspect to exist in his, her, or its favor at the time of the release of such claims, and any Released Defendants' Claims that any Defendant does not know or suspect to exist in his, her, or its favor at the time of the release of such claims, which, if known by him, her, or it, might have materially affected his, her, or its decision(s) with respect to this Settlement. With respect to any and all Released Claims, the Parties stipulate and agree that, upon the Effective Date of the Settlement, Lead Plaintiff and Defendants shall expressly waive, and each of the other Settlement Class Members shall be deemed to have waived, and by operation of the Judgment or the Alternate Judgment, if applicable, shall have expressly waived, any and all provisions, rights, and benefits conferred by any law of any state or territory of the United States, or principle of common law or foreign law, which is similar, comparable, or equivalent to California Civil Code §1542, which provides:

**A GENERAL RELEASE DOES NOT EXTEND TO CLAIMS THAT THE CREDITOR OR RELEASING PARTY DOES NOT KNOW OR SUSPECT TO EXIST IN HIS OR HER FAVOR AT THE TIME OF EXECUTING THE RELEASE AND THAT, IF KNOWN BY HIM OR HER, WOULD HAVE MATERIALLY AFFECTED HIS OR HER SETTLEMENT WITH THE DEBTOR OR RELEASED PARTY.**

Lead Plaintiff, other Settlement Class Members, Defendants, or any of Defendants' Releasees may hereafter discover facts, legal theories, or authorities in addition to or different from those which any of them now knows or believes to be true with respect to the subject matter of the Released Claims, but Lead Plaintiff and Defendants shall expressly, fully, finally, and forever waive, compromise, settle, discharge, extinguish, and release, and each Settlement Class Member shall be deemed to have waived, compromised, settled, discharged, extinguished, and released, and upon the Effective Date and by operation of the Judgment or Alternative Judgment shall have waived, compromised, settled, discharged, extinguished, and released, fully, finally, and forever, any and all Released Claims, known or unknown, suspected or unsuspected, contingent or absolute, accrued or unaccrued, apparent or unapparent, which now exist, or heretofore existed, or may hereafter exist, without regard to the subsequent discovery or existence of such different or additional facts, legal theories, or authorities. Lead Plaintiff and Defendants acknowledge, and each of the other Settlement Class Members shall be deemed by operation of law to have acknowledged, that the foregoing waiver was separately bargained for and a material element of the Settlement.

9. These releases shall be of no force or effect unless and until the Court approves the Stipulation and the settlement becomes effective on the Effective Date.
10. I (We) hereby warrant and represent that I (we) have not assigned or transferred or purported to assign or transfer, voluntarily or involuntarily, any claim or matter released pursuant to this release or any other part or portion thereof.
11. I (We) hereby warrant and represent that I (we) have included all the information requested (including supporting documentation) about all of my (our) transactions and positions in Peloton publicly traded common stock, call options and put options between September 11, 2020 and August 2, 2021, inclusive. I (we) agree to furnish additional information to the Claims Administrator to support this claim if requested to do so.
12. I (We) certify that I am (we are) NOT subject to backup withholding under the provisions of Section 3406 (a)(1)(c) of the Internal Revenue Code because: (a) I am (we are) exempt from backup withholding, or (b) I (we) have not been notified by the I.R.S. that I am (we are) subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the I.R.S. has notified me (us) that I am (we are) no longer subject to backup withholding.

NOTE: If you have been notified by the I.R.S. that you are subject to backup withholding, please strike out the language that you are not subject to backup withholding in the certification above.

I (WE) DECLARE UNDER PENALTY OF PERJURY UNDER THE LAWS OF THE UNITED STATES OF AMERICA THAT ALL OF THE INFORMATION I (WE) PROVIDED ON THIS CLAIM FORM IS TRUE, CORRECT AND COMPLETE.

Signature of Claimant (If this claim is being made on behalf of Joint Claimants, then each must sign):

[Signature box]

Signature

[Signature box]

Signature

[Signature box]

(Capacity of person(s) signing, e.g. beneficial purchaser(s), executor, administrator, trustee, etc.)

Check here if proof of authority to file is enclosed. (See explanation in II. Claimant Identification)

Executed this \_\_\_\_\_ day of \_\_\_\_\_  
[Day] [Month/year]

**THE CLAIM FORM AND SUPPORTING DOCUMENTATION MUST BE SUBMITTED ON OR BEFORE MAY 21, 2024, TO THE CLAIMS ADMINISTRATOR BY ONE OF THE FOLLOWING METHODS:**

Electronically at [www.PelotonSecuritiesSettlement.com](http://www.PelotonSecuritiesSettlement.com)

Via email to [Info@PelotonSecuritiesSettlement.com](mailto:Info@PelotonSecuritiesSettlement.com)

By mail to (postmarked no later than May 21, 2024):

*In re Peloton Interactive Securities Litigation*  
Epiq Systems, Inc.  
PO Box 2915  
Portland, OR 97208-2915

A Claim Form received by the Claims Administrator shall be deemed to have been submitted when posted, if mailed by **MAY 21, 2024**, and if a postmark is indicated on the envelope and it is mailed and addressed in accordance with the above instructions. In all other cases, a Claim Form shall be deemed to have been submitted when actually received by the Claims Administrator.

You should be aware that it will take a significant amount of time to process fully all of the Claim Forms and to administer the settlement. This work will be completed as promptly as time permits, given the need to investigate and tabulate each Claim Form. Please notify the Claims Administrator of any change of address.

**REMINDER CHECKLIST**

- Please be sure to sign this Claim Form on page 10. If this Claim Form is submitted on behalf of joint claimants, then both claimants must sign.
- Please remember to attach supporting documents. Do NOT send originals of stock certificates. Keep copies of everything you submit.
- Do NOT use highlighter on the Claim Form or any supporting documents.
- If you move after submitting this Claim Form, please notify the Claims Administrator of the change in your address.

# EXHIBIT D

# Peloton Interactive\_Exclusion Request No. 1

[REDACTED]

**From:** info\_PelotonSecuritiesSettlement  
**Sent:** Monday, April 8, 2024 6:42 PM  
**Subject:** FW: excluded from the Settlement Class and do not wish to participate in the settlement in In re Peloton Interactive, Inc. Securities Litigation, No. 1:21-cv-02369-CBA-PK (E.D.N.Y.).  
**Attachments:** 6086b1a6-f4c4-490b-803e-c21216ac4900.pdf

----- Original Message ----- [REDACTED]

**From:** [REDACTED]  
**Received:** 4/4/2024 7:50 PM  
**To:** info@PelotonSecuritiesSettlement.com  
**Subject:** excluded from the Settlement Class and do not wish to participate in the settlement in In re Peloton Interactive, Inc. Securities Litigation, No. 1:21-cv-02369-CBA-PK (E.D.N.Y.).

Hi,

I would like to exclude myself from the settlement class and do not wish to participate in the settlement in In re Peloton Interactive, Inc. Securities Litigation.

Name: Pratyush Mishra  
Address: [REDACTED]  
Telephone number: [REDACTED]

Date, number and dollar amounts of all the purchases or acquisitions of Peloton securities between September 11, 2020 and May 2021 are included below in the attachment (see page 14 and 15). I did not sell any share between May 5, 2021 and August 2, 2021.

Best,  
Pratyush Mishra

<b>Robinhood Securities LLC</b> 500 Colonial Center Parkway Suite 100 Lake Mary, FL 32746 Customer Service: 650-940-2700  PAYER'S TIN: [REDACTED]	<b>Tax Information</b> Account [REDACTED]	Statement Date: 02/14/2021 Document ID: F484 7EH 77EU	2020
	Pratyush Mishra [REDACTED]	RECIPIENT'S TIN: XXX-XX-[REDACTED]	

[ ] FATCA filing requirement (see instructions)		Summary Information			
DIVIDENDS AND DISTRIBUTIONS	2020 1099-DIV*	OMB No. 1545-0110	MISCELLANEOUS INCOME	2020 1099-MISC*	OMB No. 1545-0115
1a- Total ordinary dividends (includes lines 1b, 5)	7.97		2- Royalties	0.00	
1b- Qualified dividends	7.97		3- Other income	0.00	
2a- Total capital gain distributions (includes lines 2b, 2c, 2d)	0.00		<b>4- Federal income tax withheld</b>	<b>0.00</b>	
2b- Unrecaptured Section 1250 gain	0.00		8- Substitute payments in lieu of dividends or interest	0.00	
2c- Section 1202 gain	0.00				
2d- Collectibles (28%) gain	0.00				
3- Nondividend distributions	0.00		SECTION 1256 CONTRACTS	2020 1099-B*	OMB No. 1545-0715
<b>4- Federal income tax withheld</b>	<b>0.00</b>		8- Profit or (loss) realized in 2020 on closed contracts	0.00	
5- Section 199A dividends	0.00		9- Unrealized profit or (loss) on open contracts-12/31/2019	0.00	
6- Investment expenses	0.00		10- Unrealized profit or (loss) on open contracts-12/31/2020	0.00	
8- Foreign country or US possession:	0.00		7- Foreign tax paid:	0.00	
9- Cash liquidation distributions	0.00		11- Aggregate profit or (loss) on contracts	0.00	
10- Noncash liquidation distributions	0.00				
11- Exempt-interest dividends (includes line 12)	0.00		<i>If applicable, proceeds from sale transactions appear summarized below and are detailed in subsequent sections of this document.</i>		
12- Specified private activity bond interest dividends (AMT)	0.00				

\* This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.

#### SUMMARY OF PROCEEDS, GAINS & LOSSES, ADJUSTMENTS AND WITHHOLDING

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

Term	Form 8949 type	Proceeds	Cost basis	Market discount	Wash sale loss disallowed	Net gain or loss(-)
Short	A (basis reported to the IRS)	35,232.18	35,878.99	0.00	654.21	7.40
Short	B (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Short	C (Form 1099-B not received)	9.12	10.00	0.00	0.00	-0.88
	<b>Total Short-term</b>	<b>35,241.30</b>	<b>35,888.99</b>	<b>0.00</b>	<b>654.21</b>	<b>6.52</b>
Long	D (basis reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Long	E (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Long	F (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
	<b>Total Long-term</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
Undetermined	B or E (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Undetermined	C or F (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
	<b>Total Undetermined-term</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
	<b>Grand total</b>	<b>35,241.30</b>	<b>35,888.99</b>	<b>0.00</b>	<b>654.21</b>	<b>6.52</b>
Withholding		Amount				
	Federal income tax withheld	0.00				

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

Robinhood Securities LLC

Account

## Summary Information

2020

(continued)

02/14/2021

## INTEREST INCOME

2020 1099-INT

OMB No. 1545-0112

This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.

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

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

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

## STATE TAX WITHHELD

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

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

## ORIGINAL ISSUE DISCOUNT AND ADJUSTMENTS

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

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

## RECONCILIATIONS, FEES, EXPENSES AND EXPENDITURES

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

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

Robinhood Securities LLC

Account

## Proceeds from Broker and Barter Exchange Transactions

2020 1099-B\* OMB No. 1545-0715

02/14/2021

Sales transactions are organized into sections according to term (long, short or undetermined) and covered status (covered or noncovered). For tax lots whose term is undetermined, use your historical documents to establish the cost basis and date of purchase. The Box 12, basis is reported to the IRS indicator checkmark, is reflected as being checked in the title of the covered securities pages of Forms 1099-B, short-term and long-term. The title pages of the noncovered securities pages for Forms 1099-B reflect that Box 12 is not being checked, as these securities are not being reported to the IRS.

Several columns include both an amount and a qualifying notation to its right. Where proceeds are the result of an option exercise or assignment, there is indication of whether the amount is N (net of option premium) or G (Gross). Accrued market discount and wash sale loss disallowed appear in the same column, identified by the letters D or W, respectively. Where you are not permitted to recognize a loss, an indication of X (change in control or capital structure) or Z (other corporate action) is used. The change in control condition is reported to the IRS for covered lots. Neither the disallowance of loss due to a corporate action nor the amount of gain or loss is reported to the IRS in any instance.

Some tax lots may have notations in the column of Additional Information because they require special treatment on your tax returns. Sales of securities such as Contingent Payment Debt Instruments (CPDI) are marked as "Ordinary" because gains and losses on these instruments generally do not qualify as short- or long-term capital transactions. Similarly, lots noted as "3 - [X] Collectible" are handled distinctly under the tax code. These conditions are reported to the IRS. You may wish to consult with your tax advisor, the IRS or your state tax authority regarding the proper treatment for these scenarios. With further regard to Box 3, there is also a checkmark to indicate the proceeds of sale are from a Qualified Opportunity Zone Fund investment - a QOF. If the proceeds are from a QOF the Additional Information column will reflect the following - "3 - [X] Proceeds from QOF." The tax treatment for QOF investments can be complex and you may wish to consult your tax advisor about such sales.

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

FATCA filing requirement [ ]

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

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

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

**1a- Description of property/CUSIP/Symbol**

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
ADVANCED MICRO DEVICES, INC. C OMMON STOCK / CUSIP: 007903107 / Symbol:							
01/21/20	1.000	51.24	01/09/20	49.21	...	2.03	Sale <sup>25</sup>
AGILE THERAPEUTICS, INC. COMMO N STOCK / CUSIP: 00847L100 / Symbol:							
3 transactions for 03/06/20. Total proceeds and cost reported to the IRS.							
	50.000	119.21	03/05/20	121.81	...	-2.60	1 of 3 - Sale <sup>25</sup>
	2.000	4.77	03/05/20	4.96	...	-0.19	2 of 3 - Sale <sup>25</sup>
	1.000	2.38	03/05/20	2.54	...	-0.16	3 of 3 - Sale <sup>25</sup>
03/06/20	53.000	126.36	Various	129.31	...	-2.95	Total of 3 transactions
03/06/20	1.000	2.42	03/05/20	2.48	0.06 W	0.00	Sale <sup>25</sup>
	<b>Security total:</b>	<b>128.78</b>		<b>131.79</b>	<b>0.06 W</b>	<b>-2.95</b>	

\* This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported. Remember, taxpayers are ultimately responsible for the accuracy of their tax return(s).

Robinhood Securities LLC

Account

## Proceeds from Broker and Barter Exchange Transactions

2020 1099-B\* OMB No. 1545-0715

(continued)

02/14/2021

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

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

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

**1a- Description of property/CUSIP/Symbol**

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
AIM IMMUNOTECH INC. / CUSIP: 00901B105 / Symbol:							
2 transactions for 03/06/20. Total proceeds and cost reported to the IRS.							
	2.000	4.29	03/04/20	4.42	0.13 W	0.00	1 of 2 - Sale <sup>25</sup>
	43.000	92.16	03/04/20	103.20	11.04 W	0.00	2 of 2 - Sale <sup>25</sup>
03/06/20	45.000	96.45	Various	107.62	11.17 W	0.00	Total of 2 transactions
5 transactions for 03/09/20. Total proceeds and cost reported to the IRS.							
	1.000	3.22	03/04/20	2.32	...	0.90	1 of 5 - Sale <sup>25</sup>
	1.000	3.22	03/05/20	2.35	...	0.87	2 of 5 - Sale <sup>25</sup>
	6.000	19.32	03/05/20	13.74	...	5.58	3 of 5 - Sale <sup>25</sup>
	43.000	138.45	03/05/20	109.51	...	28.94	4 of 5 - Sale <sup>25</sup>
	7.000	22.54	03/06/20	14.00	...	8.54	5 of 5 - Sale <sup>25</sup>
03/09/20	58.000	186.75	Various	141.92	...	44.83	Total of 5 transactions
2 transactions for 03/10/20. Total proceeds and cost reported to the IRS.							
	6.000	28.80	03/09/20	34.32	...	-5.52	1 of 2 - Sale <sup>25</sup>
	4.000	19.20	03/09/20	22.52	...	-3.32	2 of 2 - Sale <sup>25</sup>
03/10/20	10.000	48.00	Various	56.84	...	-8.84	Total of 2 transactions
	<b>Security total:</b>	<b>331.20</b>		<b>306.38</b>	<b>11.17 W</b>	<b>35.99</b>	
ALIBABA GROUP HOLDING LIMITED AMERICAN DEPOSITARY SHARES, EA CH REPRESENTS EIGHT ORDINARY S / CUSIP: 01609W102 / Symbol:							
01/10/20	1.000	225.69	12/20/19	211.15	...	14.54	Sale <sup>25</sup>
2 transactions for 02/19/20. Total proceeds and cost reported to the IRS.							
	1.000	221.85	02/12/20	223.11	...	-1.26	1 of 2 - Sale <sup>25</sup>
	1.000	222.44	02/12/20	222.22	...	0.22	2 of 2 - Sale <sup>25</sup>
02/19/20	2.000	444.29	Various	445.33	...	-1.04	Total of 2 transactions
02/19/20	1.000	221.85	02/12/20	222.21	0.36 W	0.00	Sale <sup>25</sup>
	<b>Security total:</b>	<b>891.83</b>		<b>878.69</b>	<b>0.36 W</b>	<b>13.50</b>	
AMERICAN AIRLINES GROUP INC. C OMMON STOCK / CUSIP: 02376R102 / Symbol:							
2 transactions for 03/09/20. Total proceeds and cost reported to the IRS.							
	2.000	30.72	03/05/20	32.90	...	-2.18	1 of 2 - Sale <sup>25</sup>
	6.000	92.18	03/06/20	96.30	...	-4.12	2 of 2 - Sale <sup>25</sup>
03/09/20	8.000	122.90	Various	129.20	...	-6.30	Total of 2 transactions

\* This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported. Remember, taxpayers are ultimately responsible for the accuracy of their tax return(s).

Robinhood Securities LLC

Account

## Proceeds from Broker and Barter Exchange Transactions

2020 1099-B\* OMB No. 1545-0715

(continued)

02/14/2021

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

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

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

**1a- Description of property/CUSIP/Symbol**

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
APPLE INC. COMMON STOCK / CUSIP: 037833100 / Symbol:							
07/29/20	1.000	378.27	07/24/20	362.32	...	15.95	Sale <sup>25</sup>
08/03/20	1.000	440.38	07/24/20	362.32	...	78.06	Sale <sup>25</sup>
10/19/20	2.000	239.83	10/12/20	248.46	...	-8.63	Sale <sup>25</sup>
	<b>Security total:</b>	<b>1,058.48</b>		<b>973.10</b>	...	<b>85.38</b>	
ARBUTUS BIOPHARMA CORPORATION COMMON STOCK / CUSIP: 03879J100 / Symbol:							
07/24/20	110.000	845.06	07/24/20	974.59	...	-129.53	Sale <sup>25</sup>
ASTRAZENECA PLC AMERICAN DEPOSITARY SHARES / CUSIP: 046353108 / Symbol:							
08/26/20	7.000	398.52	08/03/20	400.74	...	-2.22	Sale <sup>25</sup>
BOEING COMPANY / CUSIP: 097023105 / Symbol:							
06/24/20	2.000	361.51	06/15/20	470.13	...	-108.62	Sale <sup>25</sup>
06/24/20	2.000	363.05	06/08/20	462.33	99.28 W	0.00	Sale <sup>25</sup>
	<b>Security total:</b>	<b>724.56</b>		<b>932.46</b>	<b>99.28 W</b>	<b>-108.62</b>	
CARNIVAL CORPORATION / CUSIP: 143658300 / Symbol:							
03/12/20	2.000	35.96	03/06/20	57.69	...	-21.73	Sale <sup>25</sup>
CATALYST PHARMACEUTICALS, INC. COMMON STOCK / CUSIP: 14888U101 / Symbol:							
02/21/20	1.000	5.20	02/18/20	4.59	...	0.61	Sale <sup>25</sup>
	2 transactions for 02/27/20. Total proceeds and cost reported to the IRS.						
	6.000	26.17	02/24/20	29.92	...	-3.75	1 of 2 - Sale <sup>25</sup>
	6.000	26.28	02/24/20	29.93	...	-3.65	2 of 2 - Sale <sup>25</sup>
02/27/20	12.000	52.45	Various	59.85	...	-7.40	Total of 2 transactions
	<b>Security total:</b>	<b>57.65</b>		<b>64.44</b>	...	<b>-6.79</b>	
CENTERPOINT ENERGY, INC. / CUSIP: 15189T107 / Symbol:							
02/28/20	3.000	68.32	02/27/20	75.48	...	-7.16	Sale <sup>25</sup>
CHINA ONLINE EDUCATION GROUP AMERICAN DEPOSITARY SHARES, EACH REPRESENTING 15 CLASS A ORDINARY SHARES / CUSIP: 16954L105 / Symbol:							
03/12/20	5.000	142.50	03/09/20	144.30	...	-1.80	Sale <sup>25</sup>

\* This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported. Remember, taxpayers are ultimately responsible for the accuracy of their tax return(s).

Robinhood Securities LLC		Account	
<b>Proceeds from Broker and Barter Exchange Transactions</b>			
2020	1099-B* OMB No. 1545-0715	(continued)	02/14/2021

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

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

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

**1a- Description of property/CUSIP/Symbol**

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	7- Loss not allowed (X) also not reported (Z)	Gain or loss(-) & Additional information
CIRRUS LOGIC, INC. COMMON STOC K / CUSIP: 172755100 / Symbol:							
2 transactions for 07/13/20. Total proceeds and cost reported to the IRS.							
	5.000	324.10	06/15/20	326.10	...	-2.00	1 of 2 - Sale <sup>25</sup>
	4.000	259.29	06/19/20	255.80	...	3.49	2 of 2 - Sale <sup>25</sup>
07/13/20	9.000	583.39	Various	581.90	...	1.49	Total of 2 transactions
VELOCITYSHARES 3X INVERSE CRUD E OIL ETNS LINKED TO THE S&P G SCI CRUDE OIL INDEX ER / CUSIP: 17325E309 / Symbol:							
2 transactions for 03/10/20. Total proceeds and cost reported to the IRS.							
	5.000	63.25	03/09/20	74.40	...	-11.15	1 of 2 - Sale <sup>25</sup>
	5.000	63.25	03/09/20	73.34	...	-10.09	2 of 2 - Sale <sup>25</sup>
03/10/20	10.000	126.50	Various	147.74	...	-21.24	Total of 2 transactions
CREDIT SUISSE AG NASSAU BRH VE LOCITYSHARES DAILY 2X VIX SHOR T TERM ETN / CUSIP: 22542D258 / Symbol:							
4 transactions for 03/03/20. Total proceeds and cost reported to the IRS.							
	1.000	103.50	02/27/20	88.11	...	15.39	1 of 4 - Sale <sup>25</sup>
	1.000	103.50	02/27/20	88.11	...	15.39	2 of 4 - Sale <sup>25</sup>
	1.000	103.50	02/27/20	86.00	...	17.50	3 of 4 - Sale <sup>25</sup>
	1.000	103.50	02/27/20	86.00	...	17.50	4 of 4 - Sale <sup>25</sup>
03/03/20	4.000	414.00	Various	348.22	...	65.78	Total of 4 transactions
03/03/20	3.000	310.48	02/28/20	366.84	56.36 W	0.00	Sale <sup>25</sup>
2 transactions for 03/10/20. Total proceeds and cost reported to the IRS.							
	2.000	405.30	03/09/20	519.87	...	-114.57	1 of 2 - Sale <sup>25</sup>
	1.000	202.65	03/09/20	260.76	...	-58.11	2 of 2 - Sale <sup>25</sup>
03/10/20	3.000	607.95	Various	780.63	...	-172.68	Total of 2 transactions
	<b>Security total:</b>	<b>1,332.43</b>		<b>1,495.69</b>	<b>56.36 W</b>	<b>-106.90</b>	
DOCUSIGN, INC. COMMON STOCK / CUSIP: 256163106 / Symbol:							
2 transactions for 07/14/20. Total proceeds and cost reported to the IRS.							
	1.000	190.00	06/24/20	168.75	...	21.25	1 of 2 - Sale <sup>25</sup>
	2.000	379.99	06/24/20	341.32	...	38.67	2 of 2 - Sale <sup>25</sup>
07/14/20	3.000	569.99	Various	510.07	...	59.92	Total of 2 transactions
DROPBOX, INC. CLASS A COMMON S TOCK / CUSIP: 26210C104 / Symbol:							
10/19/20	5.000	103.35	09/08/20	97.85	...	5.50	Sale <sup>25</sup>

\* This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported. Remember, taxpayers are ultimately responsible for the accuracy of their tax return(s).

Robinhood Securities LLC

Account

## Proceeds from Broker and Barter Exchange Transactions

2020 1099-B\* OMB No. 1545-0715

(continued)

02/14/2021

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

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

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

**1a- Description of property/CUSIP/Symbol**

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
EQT CORP / CUSIP: 26884L109 / Symbol:							
2 transactions for 03/10/20. Total proceeds and cost reported to the IRS.							
	3.000	21.99	03/09/20	22.55	...	-0.56	1 of 2 - Sale <sup>25</sup>
	10.000	73.30	03/09/20	73.68	...	-0.38	2 of 2 - Sale <sup>25</sup>
03/10/20	13.000	95.29	Various	96.23	...	-0.94	Total of 2 transactions
ELECTRAMECCANICA VEHICLES CORP. LTD. COMMON STOCK / CUSIP: 284849205 / Symbol:							
4 transactions for 01/22/20. Total proceeds and cost reported to the IRS.							
	40.000	96.57	12/13/19	93.20	...	3.37	1 of 4 - Sale <sup>25</sup>
	2.000	4.83	01/21/20	4.74	...	0.09	2 of 4 - Sale <sup>25</sup>
	3.000	7.25	01/21/20	7.11	...	0.14	3 of 4 - Sale <sup>25</sup>
	5.000	12.07	01/21/20	11.83	...	0.24	4 of 4 - Sale <sup>25</sup>
01/22/20	50.000	120.72	Various	116.88	...	3.84	Total of 4 transactions
4 transactions for 01/27/20. Total proceeds and cost reported to the IRS.							
	6.000	12.72	01/21/20	14.22	1.50 W	0.00	1 of 4 - Sale <sup>25</sup>
	4.000	8.48	01/22/20	9.48	1.00 W	0.00	2 of 4 - Sale <sup>25</sup>
	6.000	13.02	01/27/20	14.43	1.41 W	0.00	3 of 4 - Sale <sup>25</sup>
	4.000	8.68	01/27/20	9.62	0.94 W	0.00	4 of 4 - Sale <sup>25</sup>
01/27/20	20.000	42.90	Various	47.75	4.85 W	0.00	Total of 4 transactions
2 transactions for 02/03/20. Total proceeds and cost reported to the IRS.							
	5.000	10.51	01/31/20	10.00	...	0.51	1 of 2 - Sale <sup>25</sup>
	42.000	88.29	01/31/20	84.00	...	4.29	2 of 2 - Sale <sup>25</sup>
02/03/20	47.000	98.80	Various	94.00	...	4.80	Total of 2 transactions
4 transactions for 02/03/20. Total proceeds and cost reported to the IRS.							
	1.000	2.10	01/27/20	2.16	0.06 W	0.00	1 of 4 - Sale <sup>25</sup>
	2.000	4.20	01/28/20	4.75	0.55 W	0.00	2 of 4 - Sale <sup>25</sup>
	4.000	8.41	01/31/20	8.94	0.53 W	0.00	3 of 4 - Sale <sup>25</sup>
	4.000	8.41	01/31/20	8.94	0.53 W	0.00	4 of 4 - Sale <sup>25</sup>
02/03/20	11.000	23.12	Various	24.79	1.67 W	0.00	Total of 4 transactions
6 transactions for 02/04/20. Total proceeds and cost reported to the IRS.							
	1.000	2.26	02/03/20	2.24	...	0.02	1 of 6 - Sale <sup>25</sup>
	1.000	2.26	02/03/20	2.18	...	0.08	2 of 6 - Sale <sup>25</sup>
	44.000	99.46	02/03/20	95.81	...	3.65	3 of 6 - Sale <sup>25</sup>
	4.000	9.23	02/04/20	9.20	...	0.03	4 of 6 - Sale <sup>25</sup>

\* This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported. Remember, taxpayers are ultimately responsible for the accuracy of their tax return(s).

Robinhood Securities LLC		Account	
<b>Proceeds from Broker and Barter Exchange Transactions</b>			
2020	1099-B* OMB No. 1545-0715	(continued)	02/14/2021

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

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

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

**1a- Description of property/CUSIP/Symbol**

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
ELECTRAMECCANICA VEHICLES CORP . LTD. COMMON STOCK / CUSIP: 284849205 / Symbol: (cont'd)							
	4.000	9.23	02/04/20	9.20	...	0.03	5 of 6 - Sale <sup>25</sup>
	46.000	106.10	02/04/20	103.50	...	2.60	6 of 6 - Sale <sup>25</sup>
02/04/20	100.000	228.54	Various	222.13	...	6.41	Total of 6 transactions
	4 transactions for 02/04/20. Total proceeds and cost reported to the IRS.						
	2.000	4.52	02/03/20	4.91	0.39 W	0.00	1 of 4 - Sale <sup>25</sup>
	4.000	9.04	02/03/20	9.24	0.20 W	0.00	2 of 4 - Sale <sup>25</sup>
	4.000	9.04	02/03/20	9.24	0.20 W	0.00	3 of 4 - Sale <sup>25</sup>
	2.000	4.61	02/04/20	4.89	0.28 W	0.00	4 of 4 - Sale <sup>25</sup>
02/04/20	12.000	27.21	Various	28.28	1.07 W	0.00	Total of 4 transactions
02/06/20	42.000	90.32	02/05/20	90.01	...	0.31	Sale <sup>25</sup>
	4 transactions for 02/06/20. Total proceeds and cost reported to the IRS.						
	2.000	4.30	02/04/20	4.78	0.48 W	0.00	1 of 4 - Sale <sup>25</sup>
	56.000	120.42	02/04/20	126.00	5.58 W	0.00	2 of 4 - Sale <sup>25</sup>
	2.000	4.34	02/05/20	4.77	0.43 W	0.00	3 of 4 - Sale <sup>25</sup>
	36.000	78.08	02/05/20	80.73	2.65 W	0.00	4 of 4 - Sale <sup>25</sup>
02/06/20	96.000	207.14	Various	216.28	9.14 W	0.00	Total of 4 transactions
	4 transactions for 02/07/20. Total proceeds and cost reported to the IRS.						
	5.000	11.16	02/06/20	11.55	0.39 W	0.00	1 of 4 - Sale <sup>25</sup>
	9.000	20.08	02/06/20	20.78	0.70 W	0.00	2 of 4 - Sale <sup>25</sup>
	1.000	2.23	02/06/20	2.31	0.08 W	0.00	3 of 4 - Sale <sup>25</sup>
	1.000	2.18	02/07/20	2.43	0.25 W	0.00	4 of 4 - Sale <sup>25</sup>
02/07/20	16.000	35.65	Various	37.07	1.42 W	0.00	Total of 4 transactions
	5 transactions for 02/12/20. Total proceeds and cost reported to the IRS.						
	1.000	2.13	02/07/20	2.43	0.30 W	0.00	1 of 5 - Sale <sup>25</sup>
	11.000	23.43	02/07/20	25.20	1.77 W	0.00	2 of 5 - Sale <sup>25</sup>
	5.000	10.65	02/07/20	11.58	0.93 W	0.00	3 of 5 - Sale <sup>25</sup>
	7.000	14.91	02/07/20	15.89	0.98 W	0.00	4 of 5 - Sale <sup>25</sup>
	1.000	2.13	02/07/20	2.23	0.10 W	0.00	5 of 5 - Sale <sup>25</sup>
02/12/20	25.000	53.25	Various	57.33	4.08 W	0.00	Total of 5 transactions
	11 transactions for 02/19/20. Total proceeds and cost reported to the IRS.						
	15.000	31.65	02/14/20	31.35	...	0.30	1 of 11 - Sale <sup>25</sup>
	11.000	23.21	02/18/20	24.93	...	-1.72	2 of 11 - Sale <sup>25</sup>
	12.000	25.32	02/18/20	26.38	...	-1.06	3 of 11 - Sale <sup>25</sup>

\* This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported. Remember, taxpayers are ultimately responsible for the accuracy of their tax return(s).

Robinhood Securities LLC		Account	
<b>Proceeds from Broker and Barter Exchange Transactions</b>			
2020	1099-B* OMB No. 1545-0715	(continued)	02/14/2021

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

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

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

**1a- Description of property/CUSIP/Symbol**

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
ELECTRAMECCANICA VEHICLES CORP . LTD. COMMON STOCK / CUSIP: 284849205 / Symbol: (cont'd)							
	4.000	8.44	02/18/20	9.16	...	-0.72	4 of 11 - Sale <sup>25</sup>
	4.000	8.44	02/18/20	8.80	...	-0.36	5 of 11 - Sale <sup>25</sup>
	5.000	10.55	02/18/20	10.89	...	-0.34	6 of 11 - Sale <sup>25</sup>
	1.000	2.11	02/18/20	2.40	...	-0.29	7 of 11 - Sale <sup>25</sup>
	1.000	2.11	02/18/20	2.35	...	-0.24	8 of 11 - Sale <sup>25</sup>
	1.000	2.11	02/18/20	2.18	...	-0.07	9 of 11 - Sale <sup>25</sup>
	1.000	2.11	02/18/20	2.17	...	-0.06	10 of 11 - Sale <sup>25</sup>
	27.000	56.96	02/18/20	56.03	...	0.93	11 of 11 - Sale <sup>25</sup>
02/19/20	82.000	173.01	Various	176.64	...	-3.63	Total of 11 transactions
	13 transactions for 02/19/20. Total proceeds and cost reported to the IRS.						
	12.000	25.32	02/07/20	26.80	1.48 W	0.00	1 of 13 - Sale <sup>25</sup>
	4.000	8.44	02/07/20	8.94	0.50 W	0.00	2 of 13 - Sale <sup>25</sup>
	1.000	2.11	02/11/20	2.44	0.33 W	0.00	3 of 13 - Sale <sup>25</sup>
	1.000	2.11	02/11/20	2.39	0.28 W	0.00	4 of 13 - Sale <sup>25</sup>
	11.000	23.21	02/11/20	25.31	2.10 W	0.00	5 of 13 - Sale <sup>25</sup>
	4.000	8.44	02/11/20	9.30	0.86 W	0.00	6 of 13 - Sale <sup>25</sup>
	1.000	2.11	02/11/20	2.21	0.10 W	0.00	7 of 13 - Sale <sup>25</sup>
	1.000	2.11	02/11/20	2.22	0.11 W	0.00	8 of 13 - Sale <sup>25</sup>
	5.000	10.55	02/11/20	11.09	0.54 W	0.00	9 of 13 - Sale <sup>25</sup>
	9.000	18.99	02/11/20	19.96	0.97 W	0.00	10 of 13 - Sale <sup>25</sup>
	1.000	2.11	02/14/20	2.19	0.08 W	0.00	11 of 13 - Sale <sup>25</sup>
	7.000	14.77	02/14/20	15.61	0.84 W	0.00	12 of 13 - Sale <sup>25</sup>
	1.000	2.11	02/14/20	2.28	0.17 W	0.00	13 of 13 - Sale <sup>25</sup>
02/19/20	58.000	122.38	Various	130.74	8.36 W	0.00	Total of 13 transactions
	9 transactions for 02/27/20. Total proceeds and cost reported to the IRS.						
	5.000	9.20	02/21/20	10.63	...	-1.43	1 of 9 - Sale <sup>25</sup>
	2.000	3.68	02/21/20	4.28	...	-0.60	2 of 9 - Sale <sup>25</sup>
	1.000	1.84	02/21/20	2.15	...	-0.31	3 of 9 - Sale <sup>25</sup>
	1.000	1.84	02/21/20	2.15	...	-0.31	4 of 9 - Sale <sup>25</sup>
	1.000	1.84	02/21/20	2.13	...	-0.29	5 of 9 - Sale <sup>25</sup>
	1.000	1.84	02/21/20	2.13	...	-0.29	6 of 9 - Sale <sup>25</sup>
	5.000	9.20	02/24/20	10.05	...	-0.85	7 of 9 - Sale <sup>25</sup>
	1.000	1.84	02/24/20	2.06	...	-0.22	8 of 9 - Sale <sup>25</sup>

\* This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported. Remember, taxpayers are ultimately responsible for the accuracy of their tax return(s).

Robinhood Securities LLC		Account	
<b>Proceeds from Broker and Barter Exchange Transactions</b>			
2020	1099-B* OMB No. 1545-0715	(continued)	02/14/2021

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

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

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

**1a- Description of property/CUSIP/Symbol**

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
ELECTRAMECCANICA VEHICLES CORP. LTD. COMMON STOCK / CUSIP: 284849205 / Symbol: (cont'd)							
	1.000	1.84	02/24/20	1.97	...	-0.13	9 of 9 - Sale <sup>25</sup>
02/27/20	18.000	33.12	Various	37.55	...	-4.43	Total of 9 transactions
06/24/20	100.000	194.03	06/23/20	187.61	...	6.42	Sale <sup>25</sup>
	<b>Security total:</b>	<b>1,450.19</b>		<b>1,467.06</b>	<b>30.59 W</b>	<b>13.72</b>	
FACEBOOK, INC. CLASS A COMMON STOCK / CUSIP: 30303M102 / Symbol:							
02/07/20	1.000	212.15	02/07/20	211.92	...	0.23	Sale <sup>25</sup>
10/19/20	1.000	266.61	10/09/20	263.36	...	3.25	Sale <sup>25</sup>
	<b>Security total:</b>	<b>478.76</b>		<b>475.28</b>	...	<b>3.48</b>	
FASTLY, INC. / CUSIP: 31188V100 / Symbol:							
10/09/20	10.000	1,252.82	09/08/20	778.70	...	474.12	Sale <sup>25</sup>
10/19/20	1.000	86.48	10/14/20	122.48	...	-36.00	Sale <sup>25</sup>
	<b>Security total:</b>	<b>1,339.30</b>		<b>901.18</b>	...	<b>438.12</b>	
FORD MOTOR COMPANY / CUSIP: 345370860 / Symbol:							
02/07/20	1.000	8.11	01/30/20	8.81	...	-0.70	Sale <sup>25</sup>
HAWAIIAN HOLDINGS, INC. COMMON STOCK / CUSIP: 419879101 / Symbol:							
2 transactions for 03/09/20. Total proceeds and cost reported to the IRS.							
	5.000	86.90	03/06/20	89.15	...	-2.25	1 of 2 - Sale <sup>25</sup>
	1.000	17.38	03/06/20	17.83	...	-0.45	2 of 2 - Sale <sup>25</sup>
03/09/20	6.000	104.28	Various	106.98	...	-2.70	Total of 2 transactions
INOVIO PHARMACEUTICALS, INC. COMMON STOCK / CUSIP: 45773H201 / Symbol:							
5 transactions for 03/03/20. Total proceeds and cost reported to the IRS.							
	1.000	6.72	02/28/20	4.56	...	2.16	1 of 5 - Sale <sup>25</sup>
	6.000	31.03	02/28/20	26.58	...	4.45	2 of 5 - Sale <sup>25</sup>
	12.000	80.64	02/28/20	53.88	...	26.76	3 of 5 - Sale <sup>25</sup>
	14.000	94.08	02/28/20	63.38	...	30.70	4 of 5 - Sale <sup>25</sup>
	14.000	94.08	02/28/20	62.02	...	32.06	5 of 5 - Sale <sup>25</sup>
03/03/20	47.000	306.55	Various	210.42	...	96.13	Total of 5 transactions
03/05/20	4.000	34.88	03/04/20	35.80	0.92 W	0.00	Sale <sup>25</sup>

\* This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported. Remember, taxpayers are ultimately responsible for the accuracy of their tax return(s).

Robinhood Securities LLC

Account

## Proceeds from Broker and Barter Exchange Transactions

2020 1099-B\* OMB No. 1545-0715

(continued)

02/14/2021

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

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

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

**1a- Description of property/CUSIP/Symbol**

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
INOVIO PHARMACEUTICALS, INC. C OMMON STOCK / CUSIP: 45773H201 / Symbol: (cont'd)							
8 transactions for 03/09/20. Total proceeds and cost reported to the IRS.							
	4.000	46.40	03/04/20	36.56	...	9.84	1 of 8 - Sale <sup>25</sup>
	4.000	46.32	03/04/20	31.75	...	14.57	2 of 8 - Sale <sup>25</sup>
	10.000	115.99	03/04/20	84.20	...	31.79	3 of 8 - Sale <sup>25</sup>
	9.000	104.40	03/04/20	71.45	...	32.95	4 of 8 - Sale <sup>25</sup>
	13.000	150.54	03/04/20	99.97	...	50.57	5 of 8 - Sale <sup>25</sup>
	27.000	313.18	03/04/20	241.65	...	71.53	6 of 8 - Sale <sup>25</sup>
	67.000	579.51	03/09/20	793.94	...	-214.43	7 of 8 - Sale <sup>25</sup>
	8.000	69.20	03/09/20	101.28	...	-32.08	8 of 8 - Sale <sup>25</sup>
03/09/20	142.000	1,425.54	Various	1,460.80	...	-35.26	Total of 8 transactions
03/09/20	8.000	92.64	03/06/20	99.12	6.48 W	0.00	Sale <sup>25</sup>
	<b>Security total:</b>	<b>1,859.61</b>		<b>1,806.14</b>	<b>7.40 W</b>	<b>60.87</b>	
JPMORGAN CHASE & CO. / CUSIP: 46625H100 / Symbol:							
01/21/20	1.000	137.83	01/21/20	137.61	...	0.22	Sale <sup>25</sup>
JD.COM, INC. AMERICAN DEPOSITA RY SHARES / CUSIP: 47215P106 / Symbol:							
06/19/20	4.000	236.17	06/12/20	232.03	...	4.14	Sale <sup>25</sup>
KARUNA THERAPEUTICS, INC. COMM ON STOCK / CUSIP: 48576A100 / Symbol:							
01/21/20	3.000	306.06	01/17/20	306.72	0.22 W	-0.44	Sale <sup>25</sup>
01/30/20	1.000	93.60	01/22/20	111.64	...	-18.04	Sale <sup>25</sup>
	<b>Security total:</b>	<b>399.66</b>		<b>418.36</b>	<b>0.22 W</b>	<b>-18.48</b>	
LEAP THERAPEUTICS, INC. COMMON STOCK / CUSIP: 52187K101 / Symbol:							
03/06/20	4.000	10.36	03/05/20	10.76	...	-0.40	Sale <sup>25</sup>
MEDICAL PROPERTIES TRUST, INC. / CUSIP: 58463J304 / Symbol:							
01/30/20	1.000	22.52	01/30/20	22.50	...	0.02	Sale <sup>25</sup>
3 transactions for 02/06/20. Total proceeds and cost reported to the IRS.							
	1.000	22.90	01/30/20	22.49	...	0.41	1 of 3 - Sale <sup>25</sup>
	2.000	45.81	01/30/20	45.07	...	0.74	2 of 3 - Sale <sup>25</sup>
	1.000	22.90	01/31/20	22.35	...	0.55	3 of 3 - Sale <sup>25</sup>
02/06/20	4.000	91.61	Various	89.91	...	1.70	Total of 3 transactions
02/07/20	8.000	186.18	02/06/20	184.00	...	2.18	Sale <sup>25</sup>

\* This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported. Remember, taxpayers are ultimately responsible for the accuracy of their tax return(s).

Robinhood Securities LLC

Account

## Proceeds from Broker and Barter Exchange Transactions

2020 1099-B\* OMB No. 1545-0715

(continued)

02/14/2021

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

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

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

**1a- Description of property/CUSIP/Symbol**

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	7- Loss not allowed (X) also not reported (Z)	Gain or loss(-) & Loss not reported (Z)	Additional information
MEDICAL PROPERTIES TRUST, INC. / CUSIP: 58463J304 / Symbol: (cont'd)								
02/07/20	1.000	23.35	02/07/20	23.44		0.09 W	0.00	Sale <sup>25</sup>
02/11/20	6.000	142.03	02/07/20	140.64			1.39	Sale <sup>25</sup>
	3 transactions for 02/21/20. Total proceeds and cost reported to the IRS.							
	1.000	24.13	02/18/20	23.94			0.19	1 of 3 - Sale <sup>25</sup>
	1.000	24.13	02/18/20	23.85			0.28	2 of 3 - Sale <sup>25</sup>
	6.000	144.78	02/19/20	143.02			1.76	3 of 3 - Sale <sup>25</sup>
02/21/20	8.000	193.04	Various	190.81			2.23	Total of 3 transactions
02/24/20	3.000	72.15	02/19/20	71.51			0.64	Sale <sup>25</sup>
	<b>Security total:</b>	<b>730.88</b>		<b>722.81</b>		<b>0.09 W</b>	<b>8.16</b>	
MICROSOFT CORPORATION COMMON S TOCK / CUSIP: 594918104 / Symbol:								
	2 transactions for 01/27/20. Total proceeds and cost reported to the IRS.							
	1.000	162.01	01/21/20	167.96		5.95 W	0.00	1 of 2 - Sale <sup>25</sup>
	1.000	162.01	01/21/20	167.43		5.42 W	0.00	2 of 2 - Sale <sup>25</sup>
01/27/20	2.000	324.02	Various	335.39		11.37 W	0.00	Total of 2 transactions
02/03/20	1.000	173.48	01/31/20	171.04			2.44	Sale <sup>25</sup>
	2 transactions for 02/03/20. Total proceeds and cost reported to the IRS.							
	1.000	173.49	01/30/20	177.95		4.46 W	0.00	1 of 2 - Sale <sup>25</sup>
	1.000	173.49	01/30/20	177.49		4.00 W	0.00	2 of 2 - Sale <sup>25</sup>
02/03/20	2.000	346.98	Various	355.44		8.46 W	0.00	Total of 2 transactions
02/05/20	1.000	179.10	02/03/20	178.17			0.93	Sale <sup>25</sup>
	2 transactions for 02/06/20. Total proceeds and cost reported to the IRS.							
	1.000	182.00	02/03/20	177.71			4.29	1 of 2 - Sale <sup>25</sup>
	1.000	182.00	02/03/20	173.71			8.29	2 of 2 - Sale <sup>25</sup>
02/06/20	2.000	364.00	Various	351.42			12.58	Total of 2 transactions
	3 transactions for 02/07/20. Total proceeds and cost reported to the IRS.							
	1.000	183.54	02/06/20	183.18			0.36	1 of 3 - Sale <sup>25</sup>
	2.000	367.09	02/06/20	366.19			0.90	2 of 3 - Sale <sup>25</sup>
	1.000	185.29	02/07/20	185.29			0.00	3 of 3 - Sale <sup>25</sup>
02/07/20	4.000	735.92	Various	734.66			1.26	Total of 3 transactions
	3 transactions for 02/12/20. Total proceeds and cost reported to the IRS.							
	1.000	182.06	02/07/20	185.29		3.23 W	0.00	1 of 3 - Sale <sup>25</sup>
	1.000	182.06	02/07/20	185.29		3.23 W	0.00	2 of 3 - Sale <sup>25</sup>

\* This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported. Remember, taxpayers are ultimately responsible for the accuracy of their tax return(s).

Robinhood Securities LLC		Account	
<b>Proceeds from Broker and Barter Exchange Transactions</b>			
2020	1099-B* OMB No. 1545-0715	(continued)	02/14/2021

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

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

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

**1a- Description of property/CUSIP/Symbol**

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
MICROSOFT CORPORATION COMMON S TOCK / CUSIP: 594918104 / Symbol: (cont'd)							
	1.000	182.06	02/07/20	186.92	4.86 W	0.00	3 of 3 - Sale <sup>25</sup>
02/12/20	3.000	546.18	Various	557.50	11.32 W	0.00	Total of 3 transactions
02/18/20	1.000	186.61	02/14/20	188.71	2.10 W	0.00	Sale <sup>25</sup>
02/19/20	1.000	187.00	02/14/20	183.85	...	3.15	Sale <sup>25</sup>
02/19/20	1.000	187.00	02/14/20	187.08	0.08 W	0.00	Sale <sup>25</sup>
2 transactions for 02/27/20. Total proceeds and cost reported to the IRS.							
	1.000	165.59	02/19/20	188.90	...	-23.31	1 of 2 - Sale <sup>25</sup>
	1.000	166.02	02/21/20	179.68	...	-13.66	2 of 2 - Sale <sup>25</sup>
02/27/20	2.000	331.61	Various	368.58	...	-36.97	Total of 2 transactions
07/29/20	1.000	203.84	07/24/20	200.47	...	3.37	Sale <sup>25</sup>
08/05/20	1.000	213.03	07/24/20	200.47	...	12.56	Sale <sup>25</sup>
10/19/20	2.000	441.06	10/09/20	429.09	...	11.97	Sale <sup>25</sup>
	<b>Security total:</b>	<b>4,419.83</b>		<b>4,441.87</b>	<b>33.33 W</b>	<b>11.29</b>	
MODERNA, INC. COMMON STOCK / CUSIP: 60770K107 / Symbol:							
06/23/20	4.000	255.15	06/12/20	245.71	...	9.44	Sale <sup>25</sup>
4 transactions for 07/24/20. Total proceeds and cost reported to the IRS.							
	1.000	67.58	06/12/20	61.43	...	6.15	1 of 4 - Sale <sup>25</sup>
	1.000	67.58	06/24/20	65.43	...	2.15	2 of 4 - Sale <sup>25</sup>
	1.000	67.58	06/24/20	64.71	...	2.87	3 of 4 - Sale <sup>25</sup>
	4.000	270.34	06/24/20	261.72	...	8.62	4 of 4 - Sale <sup>25</sup>
07/24/20	7.000	473.08	Various	453.29	...	19.79	Total of 4 transactions
07/24/20	8.000	540.68	07/15/20	663.04	122.36 W	0.00	Sale <sup>25</sup>
7 transactions for 09/08/20. Total proceeds and cost reported to the IRS.							
	3.000	169.32	07/29/20	279.70	...	-110.38	1 of 7 - Sale <sup>25</sup>
	5.000	282.19	08/05/20	448.07	...	-165.88	2 of 7 - Sale <sup>25</sup>
	4.000	225.75	08/05/20	297.28	...	-71.53	3 of 7 - Sale <sup>25</sup>
	5.000	282.19	08/13/20	342.72	...	-60.53	4 of 7 - Sale <sup>25</sup>
	2.000	112.88	08/13/20	136.36	...	-23.48	5 of 7 - Sale <sup>25</sup>
	4.000	225.76	08/18/20	270.69	...	-44.93	6 of 7 - Sale <sup>25</sup>
	5.000	282.19	08/26/20	350.75	...	-68.56	7 of 7 - Sale <sup>25</sup>
09/08/20	28.000	1,580.28	Various	2,125.57	...	-545.29	Total of 7 transactions
09/08/20	12.000	677.26	07/15/20	994.56	39.98 W	-277.32	Sale <sup>25</sup>

\* This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported. Remember, taxpayers are ultimately responsible for the accuracy of their tax return(s).

Robinhood Securities LLC		Account	
<b>Proceeds from Broker and Barter Exchange Transactions</b>			
2020	1099-B* OMB No. 1545-0715	(continued)	02/14/2021

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

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

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

**1a- Description of property/CUSIP/Symbol**

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
MODERNA, INC. COMMON STOCK / CUSIP: 60770K107 / Symbol: (cont'd)							
<i>2 transactions for 10/19/20. Total proceeds and cost reported to the IRS.</i>							
	1.000	73.47	08/26/20	96.59	...	-23.12	1 of 2 - Sale <sup>25</sup>
	0.512	37.61	09/01/20	46.54	...	-8.93	2 of 2 - Sale <sup>25</sup>
10/19/20	1.512	111.08	Various	143.13	...	-32.05	Total of 2 transactions
	<b>Security total:</b>	<b>3,637.53</b>		<b>4,625.30</b>	<b>162.34 W</b>	<b>-825.43</b>	
NIO INC. AMERICAN DEPOSITARY SHARES, EACH REPRESENTING ONE CLASS A ORDINARY SHARE / CUSIP: 62914V106 / Symbol:							
10/19/20	3.000	84.05	10/15/20	84.06	...	-0.01	Sale <sup>25</sup>
NOVAVAX, INC. COMMON STOCK / CUSIP: 670002401 / Symbol:							
03/02/20	1.000	11.93	02/27/20	11.12	...	0.81	Sale <sup>25</sup>
03/03/20	4.000	41.72	02/27/20	44.48	2.76 W	0.00	Sale <sup>25</sup>
<i>2 transactions for 03/04/20. Total proceeds and cost reported to the IRS.</i>							
	3.000	31.53	02/28/20	45.33	...	-13.80	1 of 2 - Sale <sup>25</sup>
	1.000	10.51	02/28/20	15.58	...	-5.07	2 of 2 - Sale <sup>25</sup>
03/04/20	4.000	42.04	Various	60.91	...	-18.87	Total of 2 transactions
<i>2 transactions for 03/04/20. Total proceeds and cost reported to the IRS.</i>							
	3.000	31.53	02/28/20	47.40	5.29 W	-10.58	1 of 2 - Sale <sup>25</sup>
	1.000	10.51	02/28/20	15.80	5.29 W	0.00	2 of 2 - Sale <sup>25</sup>
03/04/20	4.000	42.04	Various	63.20	10.58 W	-10.58	Total of 2 transactions
<i>2 transactions for 03/06/20. Total proceeds and cost reported to the IRS.</i>							
	1.000	12.77	03/05/20	17.62	...	-4.85	1 of 2 - Sale <sup>25</sup>
	1.000	13.52	03/05/20	17.62	...	-4.10	2 of 2 - Sale <sup>25</sup>
03/06/20	2.000	26.29	Various	35.24	...	-8.95	Total of 2 transactions
	<b>Security total:</b>	<b>164.02</b>		<b>214.95</b>	<b>13.34 W</b>	<b>-37.59</b>	
OPKO HEALTH, INC. COMMON STOCK / CUSIP: 68375N103 / Symbol:							
03/12/20	1.000	1.48	03/09/20	2.33	...	-0.85	Sale <sup>25</sup>
PELTON INTERACTIVE, INC. CLASS A COMMON STOCK / CUSIP: 70614W100 / Symbol:							
<i>2 transactions for 07/24/20. Total proceeds and cost reported to the IRS.</i>							
	1.000	60.11	06/12/20	46.20	...	13.91	1 of 2 - Sale <sup>25</sup>
	3.000	180.33	06/12/20	138.60	...	41.73	2 of 2 - Sale <sup>25</sup>
07/24/20	4.000	240.44	Various	184.80	...	55.64	Total of 2 transactions

\* This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported. Remember, taxpayers are ultimately responsible for the accuracy of their tax return(s).

Robinhood Securities LLC

Account

## Proceeds from Broker and Barter Exchange Transactions

2020 1099-B\* OMB No. 1545-0715

(continued)

02/14/2021

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

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

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

**1a- Description of property/CUSIP/Symbol**

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
PELTON INTERACTIVE, INC. CLAS S A COMMON STOCK / CUSIP: 70614W100 / Symbol: (cont'd)							
2 transactions for 08/05/20. Total proceeds and cost reported to the IRS.							
	1.000	70.76	06/12/20	46.20	...	24.56	1 of 2 - Sale <sup>25</sup>
	5.000	353.78	06/24/20	274.83	...	78.95	2 of 2 - Sale <sup>25</sup>
08/05/20	6.000	424.54	Various	321.03	...	103.51	Total of 2 transactions
2 transactions for 08/07/20. Total proceeds and cost reported to the IRS.							
	1.000	69.42	06/24/20	54.66	...	14.76	1 of 2 - Sale <sup>25</sup>
	1.000	69.43	07/09/20	65.46	...	3.97	2 of 2 - Sale <sup>25</sup>
08/07/20	2.000	138.85	Various	120.12	...	18.73	Total of 2 transactions
08/18/20	4.000	278.80	07/09/20	261.83	...	16.97	Sale <sup>25</sup>
10/19/20	10.000	1,292.26	09/08/20	807.59	...	484.67	Sale <sup>25</sup>
	<b>Security total:</b>	<b>2,374.89</b>		<b>1,695.37</b>	...	<b>679.52</b>	
PFIZER INC. / CUSIP: 717081103 / Symbol:							
07/09/20	10.000	337.23	07/02/20	346.30	9.07 W	0.00	Sale <sup>25</sup>
08/13/20	10.000	380.23	07/29/20	394.22	...	-13.99	Sale <sup>25</sup>
	<b>Security total:</b>	<b>717.46</b>		<b>740.52</b>	<b>9.07 W</b>	<b>-13.99</b>	
PLANET FITNESS, INC. / CUSIP: 72703H101 / Symbol:							
2 transactions for 10/19/20. Total proceeds and cost reported to the IRS.							
	1.000	65.49	06/23/20	66.58	...	-1.09	1 of 2 - Sale <sup>25</sup>
	1.000	65.49	06/23/20	66.58	...	-1.09	2 of 2 - Sale <sup>25</sup>
10/19/20	2.000	130.98	Various	133.16	...	-2.18	Total of 2 transactions
PLUG POWER, INC. COMMON STOCK / CUSIP: 72919P202 / Symbol:							
03/04/20	9.000	40.77	03/03/20	41.47	...	-0.70	Sale <sup>25</sup>
PROSHARES ULTRA VIX SHORT-TERM FUTURES ETF / CUSIP: 74347W148 / Symbol:							
2 transactions for 03/10/20. Total proceeds and cost reported to the IRS.							
	2.000	77.40	03/09/20	89.22	...	-11.82	1 of 2 - Sale <sup>25</sup>
	2.000	77.40	03/09/20	87.74	...	-10.34	2 of 2 - Sale <sup>25</sup>
03/10/20	4.000	154.80	Various	176.96	...	-22.16	Total of 2 transactions

\* This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported. Remember, taxpayers are ultimately responsible for the accuracy of their tax return(s).

Robinhood Securities LLC		Account	
<b>Proceeds from Broker and Barter Exchange Transactions</b>			
2020	1099-B* OMB No. 1545-0715	(continued)	02/14/2021

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

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

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

**1a- Description of property/CUSIP/Symbol**

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
REVOLVE GROUP, INC. / CUSIP: 76156B107 / Symbol:							
06/23/20	2.000	31.29	06/15/20	30.48	...	0.81	Sale <sup>25</sup>
07/09/20	2.000	32.60	06/15/20	30.48	...	2.12	Sale <sup>25</sup>
	<b>Security total:</b>	<b>63.89</b>		<b>60.96</b>	...	<b>2.93</b>	
ROCKWELL MEDICAL, INC. (DE) COMMON STOCK / CUSIP: 774374102 / Symbol:							
03/09/20	41.000	133.66	03/06/20	156.03	...	-22.37	Sale <sup>25</sup>
SVMK INC. COMMON STOCK / CUSIP: 78489X103 / Symbol:							
10/19/20	3.000	70.08	09/08/20	66.21	...	3.87	Sale <sup>25</sup>
SAGE THERAPEUTICS, INC. COMMON STOCK / CUSIP: 78667J108 / Symbol:							
01/10/20	2.000	155.09	12/20/19	149.11	...	5.98	Sale <sup>25</sup>
	2 transactions for 01/30/20. Total proceeds and cost reported to the IRS.						
	1.000	66.15	01/27/20	70.74	...	-4.59	1 of 2 - Sale <sup>25</sup>
	2.000	132.30	01/27/20	136.74	...	-4.44	2 of 2 - Sale <sup>25</sup>
01/30/20	3.000	198.45	Various	207.48	...	-9.03	Total of 2 transactions
	2 transactions for 01/30/20. Total proceeds and cost reported to the IRS.						
	1.000	66.18	01/27/20	68.37	2.19 W	0.00	1 of 2 - Sale <sup>25</sup>
	1.000	66.28	01/27/20	68.37	2.09 W	0.00	2 of 2 - Sale <sup>25</sup>
01/30/20	2.000	132.46	Various	136.74	4.28 W	0.00	Total of 2 transactions
02/12/20	1.000	69.62	02/11/20	73.03	3.41 W	0.00	Sale <sup>25</sup>
	3 transactions for 03/04/20. Total proceeds and cost reported to the IRS.						
	1.000	52.30	03/03/20	55.67	...	-3.37	1 of 3 - Sale <sup>25</sup>
	2.000	103.70	03/03/20	104.53	...	-0.83	2 of 3 - Sale <sup>25</sup>
	1.000	52.29	03/03/20	52.26	...	0.03	3 of 3 - Sale <sup>25</sup>
03/04/20	4.000	208.29	Various	212.46	...	-4.17	Total of 3 transactions
	<b>Security total:</b>	<b>763.91</b>		<b>778.82</b>	<b>7.69 W</b>	<b>-7.22</b>	
SPECTRUM PHARMACEUTICALS, INC. COMMON STOCK / CUSIP: 84763A108 / Symbol:							
	2 transactions for 03/06/20. Total proceeds and cost reported to the IRS.						
	40.000	114.47	03/05/20	121.20	...	-6.73	1 of 2 - Sale <sup>25</sup>
	10.000	28.62	03/05/20	31.58	...	-2.96	2 of 2 - Sale <sup>25</sup>
03/06/20	50.000	143.09	Various	152.78	...	-9.69	Total of 2 transactions

\* This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported. Remember, taxpayers are ultimately responsible for the accuracy of their tax return(s).

Robinhood Securities LLC

Account

## Proceeds from Broker and Barter Exchange Transactions

2020 1099-B\* OMB No. 1545-0715

(continued)

02/14/2021

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

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

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

**1a- Description of property/CUSIP/Symbol**

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
SPECTRUM PHARMACEUTICALS, INC. COMMON STOCK / CUSIP: 84763A108 / Symbol: (cont'd)							
2 transactions for 03/06/20. Total proceeds and cost reported to the IRS.							
	10.000	29.02	03/05/20	30.30	1.28 W	0.00	1 of 2 - Sale <sup>25</sup>
	50.000	145.07	03/05/20	151.50	6.43 W	0.00	2 of 2 - Sale <sup>25</sup>
03/06/20	60.000	174.09	Various	181.80	7.71 W	0.00	Total of 2 transactions
03/09/20	50.000	126.59	03/05/20	156.74	...	-30.15	Sale <sup>25</sup>
	<b>Security total:</b>	<b>443.77</b>		<b>491.32</b>	<b>7.71 W</b>	<b>-39.84</b>	
SPIRIT AIRLINES, INC. / CUSIP: 848577102 / Symbol:							
2 transactions for 03/09/20. Total proceeds and cost reported to the IRS.							
	1.000	21.72	03/06/20	23.64	...	-1.92	1 of 2 - Sale <sup>25</sup>
	1.000	21.72	03/06/20	23.24	...	-1.52	2 of 2 - Sale <sup>25</sup>
03/09/20	2.000	43.44	Various	46.88	...	-3.44	Total of 2 transactions
SQUARE, INC. / CUSIP: 852234103 / Symbol:							
2 transactions for 02/28/20. Total proceeds and cost reported to the IRS.							
	7.000	550.14	02/27/20	568.86	...	-18.72	1 of 2 - Sale <sup>25</sup>
	1.000	78.29	02/27/20	81.27	...	-2.98	2 of 2 - Sale <sup>25</sup>
02/28/20	8.000	628.43	Various	650.13	...	-21.70	Total of 2 transactions
07/14/20	2.000	235.15	06/19/20	201.12	...	34.03	Sale <sup>25</sup>
10/19/20	1.000	190.40	09/08/20	141.42	...	48.98	Sale <sup>25</sup>
	<b>Security total:</b>	<b>1,053.98</b>		<b>992.67</b>	<b>...</b>	<b>61.31</b>	
TESLA, INC. COMMON STOCK / CUSIP: 88160R101 / Symbol:							
01/09/20	1.000	477.62	01/07/20	464.39	...	13.23	Sale <sup>25</sup>
01/14/20	1.000	534.60	01/14/20	533.62	...	0.98	Sale <sup>25</sup>
02/06/20	1.000	755.19	02/06/20	746.42	...	8.77	Sale <sup>25</sup>
02/06/20	1.000	760.09	02/06/20	761.00	0.91 W	0.00	Sale <sup>25</sup>
02/07/20	1.000	753.98	02/07/20	750.51	...	3.47	Sale <sup>25</sup>
02/27/20	1.000	715.71	02/19/20	930.00	214.29 W	0.00	Sale <sup>25</sup>
03/05/20	1.000	734.34	03/03/20	983.00	...	-248.66	Sale <sup>25</sup>
10/19/20	0.011	5.03	09/15/20	5.00	...	0.03	Sale <sup>25</sup>
	<b>Security total:</b>	<b>4,736.56</b>		<b>5,173.94</b>	<b>215.20 W</b>	<b>-222.18</b>	

\* This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported. Remember, taxpayers are ultimately responsible for the accuracy of their tax return(s).

Robinhood Securities LLC

Account

## Proceeds from Broker and Barter Exchange Transactions

2020 1099-B\* OMB No. 1545-0715

(continued)

02/14/2021

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

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

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

**1a- Description of property/CUSIP/Symbol**

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
TITAN PHARMACEUTICALS, INC. COMMON STOCK / CUSIP: 888314507 / Symbol:							
3 transactions for 03/10/20. Total proceeds and cost reported to the IRS.							
	28.000	6.64	03/05/20	9.88	...	-3.24	1 of 3 - Sale <sup>25</sup>
	1.000	0.24	03/05/20	0.35	...	-0.11	2 of 3 - Sale <sup>25</sup>
	3.000	0.72	03/06/20	0.95	...	-0.23	3 of 3 - Sale <sup>25</sup>
03/10/20	32.000	7.60	Various	11.18	...	-3.58	Total of 3 transactions
UNITED AIRLINES HOLDINGS, INC. COMMON STOCK / CUSIP: 910047109 / Symbol:							
06/24/20	2.000	68.02	06/08/20	91.70	...	-23.68	Sale <sup>25</sup>
UNITED STATES OIL FUND, LP / CUSIP: 91232N207 / Symbol:							
06/23/20	2.000	57.84	06/08/20	56.32	...	1.52	Sale <sup>25</sup>
UPWORK INC. COMMON STOCK / CUSIP: 91688F104 / Symbol:							
08/13/20	10.000	146.50	08/07/20	147.00	...	-0.50	Sale <sup>25</sup>
10/19/20	5.000	102.45	10/09/20	100.94	...	1.51	Sale <sup>25</sup>
	<b>Security total:</b>	<b>248.95</b>		<b>247.94</b>	...	<b>1.01</b>	
WASHINGTON PRIME GROUP INC. / CUSIP: 93964W108 / Symbol:							
01/27/20	1.000	3.24	01/23/20	3.65	...	-0.41	Sale <sup>25</sup>
WYNN RESORTS, LIMITED COMMON STOCK / CUSIP: 983134107 / Symbol:							
06/24/20	2.000	159.67	06/08/20	210.33	...	-50.66	Sale <sup>25</sup>
ZOOM VIDEO COMMUNICATIONS, INC. CLASS A COMMON STOCK / CUSIP: 98980L101 / Symbol:							
06/19/20	1.000	240.94	06/15/20	232.00	...	8.94	Sale <sup>25</sup>
07/14/20	1.000	255.04	06/15/20	232.00	...	23.04	Sale <sup>25</sup>
10/19/20	1.000	576.60	09/08/20	358.28	...	218.32	Sale <sup>25</sup>
	<b>Security total:</b>	<b>1,072.58</b>		<b>822.28</b>	...	<b>250.30</b>	
ZYNGA INC. CLASS A COMMON STOCK / CUSIP: 98986T108 / Symbol:							
06/24/20	4.000	38.32	06/08/20	35.59	...	2.73	Sale <sup>25</sup>
ROYAL CARIBBEAN GROUP / CUSIP: V7780T103 / Symbol:							
10/19/20	2.000	117.76	06/08/20	142.61	...	-24.85	Sale <sup>25</sup>
<b>Totals :</b>		<b>35,232.18</b>		<b>35,878.99</b>	<b>654.21 W</b>	<b>7.40</b>	

\* This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported. Remember, taxpayers are ultimately responsible for the accuracy of their tax return(s).

Robinhood Securities LLC

Account

## Proceeds Not Reported to the IRS

2020

02/14/2021

This section of your tax information statement provides proceeds transactions that are not reported to the IRS, but may have a tax impact. They are grouped by term (long, short or undetermined). For tax lots whose term is undetermined, use your historical documents to establish the cost basis and date of purchase.

Several columns include both an amount and a qualifying notation to its right. Where proceeds are the result of an option exercise or assignment, there is indication of whether the amount is N (net of option premium) or G (Gross). Accrued Market Discount and Wash Sale Loss Disallowed appear in the same column, identified by the letters D or W, respectively. Where you are not permitted to recognize a loss, an indication of X (change in control or capital structure) or Z (other corporate action) is used.

Some tax lots may have notations in the column of additional information because they require special treatment on your tax returns. Sales of securities such as Contingent Payment Debt Instruments (CPDI) are marked as "Ordinary" because gains and losses on these instruments generally do not qualify as short- or long-term capital transactions. Similarly, sales of collectibles, noted as "3 - Proceeds from Collectibles [X]" are handled distinctly under the tax code. You may wish to consult with your tax advisor, the IRS or your state tax authority regarding the proper treatment for these scenarios. With further regard to Box 3, there is also a checkmark to indicate the proceeds of sale are from a Qualified Opportunity Zone Fund investment - a QOF. If the proceeds are from a QOF the Additional Information column will reflect the following - "3 - [X] Proceeds from QOF." The tax treatment for QOF investments can be complex and you may wish to consult your tax advisor about such sales.

**SHORT TERM TRANSACTIONS [Ordinary gains or losses are identified in the Additional information column]**

Report on Form 8949, Part I, with Box C checked.

## Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
MARINUS PHARMACEUTICALS, INC. COMMON STOCK / CUSIP: 56854Q200 / Symbol:							
	2 transactions for 09/28/20						
	0.749	9.07	09/15/20	9.95	...	-0.88	Gain or loss
	0.004	0.05	09/15/20	0.05	...	0.00	Gain or loss
09/28/20	0.753	9.12	Various	10.00	...	-0.88	Total of 2 transactions
<b>Totals:</b>		<b>9.12</b>		<b>10.00</b>	...	<b>-0.88</b>	

Robinhood Securities LLC

Account [REDACTED]

## Detail for Dividends and Distributions

2020

02/14/2021

This section of your tax information statement contains the payment level detail of your taxable dividends, capital gains distributions, Section 199A dividends, exempt-interest dividends, nondividend distributions and liquidation distributions. Also shown are the fair market values of any taxable stock dividends or noncash liquidation distributions.

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

Note that a payment characterized as a "Qualified dividend" is only issuer-qualified.

Security description	CUSIP and/or symbol	State	Date	Amount	Transaction type	Notes
ASTRAZENECA PLC AMERICAN DEPOSITARY SHARES	046353108		09/14/20	3.15	Qualified dividend	
MICROSOFT CORPORATION COMMON STOCK	594918104		03/12/20	1.02	Qualified dividend	
PFIZER INC.	717081103		09/01/20	3.80	Qualified dividend	
				<b>7.97</b>	<b>Total Dividends &amp; distributions</b>	

Robinhood Securities LLC

Account [REDACTED]

## Foreign Income and Taxes Summary

2020

02/14/2021

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

Country	Security Description	CUSIP	Nonqualified	Dividends		Interest	Total Income	Tax
				Qualified				
UK	ASTRAZENECA PLC AMERICAN DEPOSITARY SHARES	046353108	0.00	3.15		0.00	3.15	0.00
<b>Total UNITED KINGDOM</b>			<b>0.00</b>	<b>3.15</b>		<b>0.00</b>	<b>3.15</b>	<b>0.00</b>
<b>Grand Total</b>	<b>Total Foreign Source Income*</b>			<b>3.15</b>				
	<b>Qualified Foreign Source Income**</b>			<b>3.15</b>				
	<b>Foreign Tax</b>			<b>0.00</b>				

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

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

Robinhood Securities LLC

2020 End Notes for Account [REDACTED]

25 Tax lot closed on a first in first out basis.

---

**Common Instructions for Recipient**

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

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

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

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

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

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

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

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

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

**Line 1a.** Shows total ordinary dividends that are taxable. Include this amount on the "Ordinary dividends" line of Form 1040 or 1040-SR. Also, report it on Schedule B (Form 1040 or 1040-SR), if required.

**Line 1b.** Shows the portion of the amount in line 1a that may be eligible for reduced capital gains rates. See the Instructions for Forms 1040 and 1040-SR for how to determine this amount and where to report. The amount shown may be dividends a corporation paid directly to you as a participant (or beneficiary of a participant) in an employee stock ownership plan (ESOP). Report it as a dividend on your Form 1040 or 1040-SR but treat it as a plan distribution, not as investment income, for any other purpose.

**Line 2a.** Shows total capital gain distributions from a regulated investment company (RIC) or real estate investment trust (REIT). See How To Report in the Instructions for Schedule D (Form 1040 or 1040-SR). But, if no amount is shown in lines 2c and 2d and your only capital gains and losses are capital gain distributions, you may be able to report the amounts shown in line 2a on your Form 1040 or 1040-SR rather than Schedule D. See the Instructions for Forms 1040 and 1040-SR.

**Line 2b.** Shows the portion of the amount in line 2a that is unrecaptured section 1250 gain from certain depreciable real property. See the Unrecaptured Section 1250 Gain Worksheet in the Instructions for Schedule D (Form 1040 or 1040-SR).

**Line 2c.** Shows the portion of the amount in line 2a that is section 1202 gain from certain small business stock that may be subject to an exclusion. See the Schedule D (Form 1040 or 1040-SR) instructions.

**Line 2d.** Shows 28% rate gain from sales or exchanges of collectibles. If required, use this amount when completing the 28% Rate Gain Worksheet in the Instructions for Schedule D (Form 1040 or 1040-SR).

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

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

**Line 5.** Shows the portion of the amount in line 1a that may be eligible for the 20% qualified business income deduction under section 199A. See the instructions for Form 8995 and Form 8995-A.

**Instructions for Recipient**

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

**Line 7.** Shows the foreign tax that you may be able to claim as a deduction or a credit on Form 1040 or 1040-SR. See the Instructions for Forms 1040 and 1040-SR.

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

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

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

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

**Lines 13-15.** State income tax withheld reporting lines. Nominees. If this form includes amounts belonging to another person, you are considered a nominee recipient. You must file Form 1099-DIV (with a Form 1096) with the IRS for each of the other owners to show their share of the income, and you must furnish a Form 1099-DIV to each. A spouse is not required to file a nominee return to show amounts owned by the other spouse. See the 2020 General Instructions for Certain Information Returns. Future developments. For the latest information about developments related to Form 1099-DIV and its instructions, such as legislation enacted after they were published, go to [www.irs.gov/Form1099DIV](http://www.irs.gov/Form1099DIV).

**1099-B Instructions for Recipient**

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

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

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

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

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

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

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

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

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

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

**Line 1e.** Shows the cost or other basis of securities sold. If the securities were acquired through the exercise of a noncompensatory option granted or acquired on or after January 1, 2014, the basis has been adjusted to reflect your option premium. If the

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

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

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

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

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

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

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

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

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

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

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

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

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

This page intentionally left blank.

# Peloton Interactive\_Exclusion Request No. 2

FW: Removal from lawsuit request - please confirm

info\_PelotonSecuritiesSettlement  
To:

Reply Reply All Forward Thu, 4/11/2024 2:07 PM

If there are problems with how this message is displayed, click here to view it in a web browser.

Attachments: Aly 1009 - 2021.pdf 23 KB Aly 1009 - 2020.pdf 31 KB

From: [REDACTED]  
Received: [REDACTED]  
To: info@PelotonSecuritiesSettlement.com  
Subject: Removal from lawsuit request - please confirm

You don't often get email from [REDACTED]. Learn why this is important.  
CAUTION: This email originated from outside of Esig. Do not click links or open attachments unless you recognize the sender and know the content is safe. Report phishing by using the "Push Alert Report" button above.

Hello,  
I, Bradford Neumann, wish to be excluded from the Settlement Class and do not wish to participate in the settlement in *In re Peloton Interactive, Inc. Securities Litigation*, No. 1:21-cv-02369-CBA-PK (E.D.N.Y.).

(A) Bradford Neumann [REDACTED]  
/signed/ Bradford Neumann

(Please inform me if this does not count as a signature?)  
Ps. Your list of requirements is completely absurd. Nice scheme you have to get all the money for yourselves and none for the shareholders.

(B) I sold two call options on the 100 shares I purchased on 9/4/2020:  
Options -1 PTON Call PTON Nov 13 2020 140.00 Call 10/23/20 11/13/20 \$0.00 \$449.43 \$449.43 100.00% Short  
Options -1 PTON Call PTON Jan 15 2021 145.00 Call 12/15/20 \$374.44 \$374.44 100.00% Short

The second call option resulted in my 100 shares being called away on 1/15/2021.

(C) Sold on 1/15/21, 100 shares, amount \$14,874.12

My statements from 2020 and 2021 are attached below.

Bradford Neumann  
[REDACTED]

APEX CLEARING  
ONE DALLAS CENTER  
350 NORTH ST PAUL SUITE 1300  
DALLAS, TX 75201

BRADFORD NEUMANN  
ELIZABETH NEUMANN JTWROS  
[REDACTED]  
[REDACTED]

IN ACCOUNT WITH

**Ally Invest**  
**855-880-2559**

**IMPORTANT YEAR END MESSAGES**

This document includes your Consolidated Form 1099 that we are required to provide to you and contains information that we are providing to the Internal Revenue Service and additional information that may be helpful to you for filing your tax return. You may wish to seek the advice of a tax professional when preparing your return.

Please verify your personal information for accuracy and contact us to correct any discrepancies.

This page is intentionally left blank.

<b>APEX CLEARING</b> ONE DALLAS CENTER 350 NORTH ST PAUL SUITE 1300 DALLAS, TX 75201 Customer Service: 214-765-1009  PAYER'S Federal ID No: [REDACTED]  IN ACCOUNT WITH  <b>Ally Invest</b> <b>(855) 880-2559</b>	<b>Account</b> [REDACTED]	<b>Form 1099 Composite</b>	<b>2020</b>
	BRADFORD NEUMANN [REDACTED] [REDACTED]	Statement Date: 02/03/2021	
	RECIPIENT'S ID No: XXX-XX-[REDACTED]		

FATCA filing requirement [ ]

### Tax Reporting Statement

DIVIDENDS AND DISTRIBUTIONS	2020 Form 1099-DIV*	OMB No. 1545-0110
1a- Total Ordinary Dividends (includes amount shown on 1b)	551.75	
1b- Qualified Dividends	551.75	
2a- Total Capital Gain Distributions (includes lines 2b, 2c, 2d)	0.00	
2b- Unrecaptured Section 1250 gain	0.00	
2c- Section 1202 Gain	0.00	
2d- Collect bles (28%) Gain	0.00	
3- Nondividend Distributions	0.00	
<b>4- Federal Income Tax Withheld</b>	<b>0.00</b>	
5- Section 199A Dividends	0.00	
6- Investment Expenses	0.00	
7- Foreign tax Paid	0.00	
8- Foreign country or US Possession		
9- Cash Liquidation Distr butions	0.00	
10- Noncash Liquidation Distribution	0.00	
11- Exempt-Interest Dividends	0.00	
12- Specified Private Activity Bond Interest Dividends	0.00	

INTEREST INCOME	2020 Form 1099-INT*	OMB No. 1545-0112
1- Interest Income		0.00
2- Early Withdrawal penalty		0.00
3- Interest on U.S. Savings Bonds & Treasury Obligations		0.00
<b>4- Federal Income Tax Withheld</b>		<b>0.00</b>
5- Investment Expenses		0.00
6- Foreign Tax Paid		0.00
7- Foreign Country or U.S. Possession		
8- Tax-Exempt Interest (includes box 9)		<b>0.00</b>
9- Specified Private Activity Bond Interest		0.00
10- Market Discount		0.00
11- Bond Premium		0.00
12- Bond Premium on Treasury Obligations		0.00
13- Bond Premium on Tax-Exempt Bonds		0.00
14- Tax-Exempt and Tax Credit Bond CUSIP no.		

MISCELLANEOUS INCOME	2020 Form 1099-MISC*	OMB No. 1545-0115
2- Royalties		0.00
3- Other Income		0.00
<b>4- Federal Income Tax Withheld</b>		<b>0.00</b>
8- Substitute Payments in Lieu of Dividends or Interest		33.30

REGULATED FUTURES CONTRACTS & SECTION 1256 OPTIONS	2020 Form 1099-B*	OMB No. 1545-0715
8- Profit or (loss) realized in 2020 on closed contracts		0.00
9- Unrealized profit or (loss) on open contracts - 12/31/2019		0.00
10- Unrealized profit or (loss) on open contracts - 12/31/2020		0.00
11- Aggregate profit or (loss) on contracts		0.00
<i>As applicable, proceeds from other sale transactions are summarized below and details are provided in subsequent sections of this document. More details on futures and section 1256 options transactions are also provided in other sections of this document.</i>		

\* This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported. Taxpayers are reminded that they are ultimately responsible for the accuracy of their tax returns. Dividends may be reclassified for tax purposes after the original Form 1099 is sent in certain cases where information from issuers is received late. This may require us to provide you an amended tax form.

APEX CLEARING

**Tax Summary**

2020

02/03/2021

**Summary Of Sale Proceeds**

Proceeds from sales of securities are reported individually by trade to the Internal Revenue Service. Please refer to the Proceeds from Broker and Barter Exchange Transactions details sections to determine correct amounts to include in your tax return. The summary transaction amounts shown below are for informational purposes.

Section	Total Proceeds	Total Cost Basis	Total Market Discount	Wash Sale Loss Disallowed	Total Net Gain or Loss(-)
Short term transactions for covered tax lots	491,844.33	468,616.90	0.00	0.00	23,227.43
Short term transactions for noncovered tax lots	0.00	0.00	0.00	0.00	0.00
<b>Total Short-term</b>	<b>491,844.33</b>	<b>468,616.90</b>	<b>0.00</b>	<b>0.00</b>	<b>23,227.43</b>
Long-term transactions for covered tax lots	0.00	0.00	0.00	0.00	0.00
Long-term transactions for noncovered tax lots	0.00	0.00	0.00	0.00	0.00
<b>Total Long-term</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
Undetermined transactions for noncovered tax lots	0.00	0.00	0.00	0.00	0.00
<b>Total Undetermined-term</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>

**ORIGINAL ISSUE DISCOUNT SUMMARY**

Original Issue Discount (Non-US Treasury Obligations)	0.00
Original Issue Discount on U.S. Treasury Obligations	0.00
Other Periodic Interest	0.00
Market Discount – Covered Positions	0.00
Acquisition Premium – Covered Positions	0.00
Bond Premium – Covered Positions	0.00
Tax-Exempt OID – Covered Positions	0.00
Tax Exempt OID – Specified Private Activity Bonds – Covered Positions	0.00
Investment Expenses	0.00

*Amounts shown in this section are summary totals for your reference. For bond-by-bond detail, use the Form 1099-OID section of this document.*

**FEDERAL TAX WITHHELD**

Form	Federal Income Tax Withheld
1099-B Total (aggregate):	0.00
1099-DIV Total:	0.00
1099-INT Total:	0.00
1099-MISC Total:	0.00
1099-OID Total:	0.00

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

02/03/2021

The following information is being provided to assist in your review and the preparation of your tax return.

This Form 1099-B – Proceeds from Broker and Barter Exchange Transactions provides information relating to sales of securities in your account. The sales details are organized into potentially five separate sections depending on your holding period in the security for the sale (short-term vs long-term) and whether the security is considered a “covered security” for tax reporting purpose. For covered securities, cost basis (adjusted as required under tax regulations) is being reported to the Internal Revenue Service (IRS), whereas for noncovered securities, cost basis if set forth below is provided only for your information.

A separate category is provided for sales of securities for which we do not know your holding period. For such tax lots, you will need to use your historical documents to determine your holding period (whether short-term or long-term) and your tax basis.

Unless noted otherwise under the column “Additional Notes”, cost basis and corresponding gain or loss is determined by treating tax lots acquired first as being sold first. We have also assumed that you have made an election to amortize premium on the purchase of taxable bonds.

As brokers, we are only required to apply wash sales loss disallowance rules to securities with the same CUSIP or identifier and purchased and sold within the same account. We are also not required to apply wash sales rules across covered and noncovered securities. You as the taxpayer, however, generally have broader obligations under the wash sales rules to determine disallowed losses, and you may wish to consult with a tax adviser as to the application of such rules to you.

Sales of certain contingent payment debt instruments give rise to ordinary income rather than short-term or long-term capital gain or loss. Such ordinary income treatment is indicated in the Additional Notes column as “Box 2 – Ordinary.” In addition, certain assets classified as collectibles are subject to special tax treatment. Any such classification is noted in the Additional Notes column as “Box 3 – Collectibles Box Checked.” Loss disallowed for certain transactions involving change in control or capital structure is noted in the Additional Notes column as “Box 7 – Loss Disallowed Box Checked.” Disposition of a QOF investment is noted in the Additional Notes column as “Box 3 – QOF.”

Information in the transaction detail sections below that have a Box number is being transmitted to the IRS, whereas additional information that is not being transmitted to the IRS is not headed by a Box number. Such additional information may be helpful to you in the preparation of your tax return. Remember that taxpayers are ultimately responsible for the accuracy of their tax returns.

FATCA filing requirement [ ]

## SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

Report on Form 8949, Part I with Box A checked.

**Box 2:** Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)

**Box 5:** Box Not Checked (Covered Security)

**Box 6:** Gross (unless indicated as Net in Additional Notes Column)

**Box 12:** Basis Reported to the IRS

The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS but may be helpful to complete your return.

### 1a - Description of property | CUSIP | Symbol

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
PUT MCD 07/02/20	180	MCDONALDS CORP   CUSIP:   Symbol: MCD200702P00180000					
06/29/2020	1.00	77.91	06/18/2020	0.00	0.00	77.91	Buy to Close
PUT DKNG 10/02/20	50	DRAFTKINGS INC CL A   CUSIP:   Symbol: DKNG201002P00050000					
	2.00	338.92	10/02/2020	0.00	0.00	338.92	Expiration
CALL DKNG 12/31/20	60	DRAFTKINGS INC CL A   CUSIP:   Symbol: DKNG201231C00060000					
12/29/2020	2.00	136.84	12/16/2020	0.00	0.00	136.84	Buy to Close
PUT TSLA 11/27/20	505	TESLA INC   CUSIP:   Symbol: TSLA201127P005050000					
11/24/2020	1.00	398.90	11/23/2020	0.00	0.00	398.90	Buy to Close
PUT UPS 07/02/20	100	UNITED PARCEL SVC INC   CUSIP:   Symbol: UPS200702P00100000					
	1.00	57.45	07/02/2020	0.00	0.00	57.45	Expiration

\* This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported. Taxpayers are reminded that they are ultimately responsible for the accuracy of their tax returns.

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

(continued)

02/03/2021

## SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

Report on Form 8949, Part I with Box A checked.

Box 2: Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)

Box 5: Box Not Checked (Covered Security)

Box 6: Gross (unless indicated as Net in Additional Notes Column)

Box 12: Basis Reported to the IRS

The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS but may be helpful to complete your return.

## 1a - Description of property | CUSIP | Symbol

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
PUT DOW 08/21/20	40	DOW INC   CUSIP:   Symbol: DOW200821P00040000					
08/12/2020	1.00	112.91	07/31/2020	0.00	0.00	112.91	Buy to Close
CALL WRK 07/17/20	30	WESTROCK COMPANY   CUSIP:   Symbol: WRK200717C00030000					
07/17/2020	1.00	-31.09	06/26/2020	0.00	0.00	-31.09	Buy to Close
PUT UBER 07/10/20	30	UBER TECHNOLOGIES INC   CUSIP:   Symbol: UBER200710P00030000					
07/06/2020	1.00	61.91	06/30/2020	0.00	0.00	61.91	Buy to Close
PUT TSLA 09/11/20	385	TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA200911P00385000					
09/09/2020	1.00	-1,797.10	09/02/2020	0.00	0.00	-1,797.10	Buy to Close
09/09/2020	2.00	-5,666.20	09/02/2020	0.00	0.00	-5,666.20	Buy to Close
<b>Security Totals:</b>		<b>-7,463.30</b>		<b>0.00</b>		<b>-7,463.30</b>	
PUT KO 07/31/20	45	COCA COLA CO   CUSIP:   Symbol: KO200731P00045000					
07/21/2020	1.00	29.91	07/15/2020	0.00	0.00	29.91	Buy to Close
CALL NIO 12/31/20	50	NIO INC ADS   CUSIP:   Symbol: NIO201231C00050000					
12/29/2020	1.00	128.91	12/15/2020	0.00	0.00	128.91	Buy to Close
PUT UAL 06/26/20	30	UNITED AIRLINES HOLDINGS INC   CUSIP:   Symbol: UAL200626P00030000					
06/18/2020	1.00	75.91	06/12/2020	0.00	0.00	75.91	Buy to Close
PUT TSLA 12/18/20	520	TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA201218P00520000					
12/18/2020	1.00	973.89	12/11/2020	0.00	0.00	973.89	Buy to Close
TESLA INC		COMMON STOCK   CUSIP: 88160R101   Symbol: TSLA					
11/30/2020	100.00	58,498.70	11/30/2020	58,000.00	0.00	498.70	Sale
							Sale
12/04/2020	100.00	58,503.15	12/01/2020	57,500.00	0.00	1,003.15	Box 6 - Net
12/08/2020	100.00	62,998.60	12/08/2020	62,500.00	0.00	498.60	Sale
12/18/2020	100.00	65,998.54	12/08/2020	62,500.00	0.00	3,498.54	Sale
12/24/2020	100.00	65,723.54	12/24/2020	65,424.64	0.00	298.90	Sale
12/24/2020	100.00	65,848.54	12/24/2020	65,550.00	0.00	298.54	Sale
							Sale
12/31/2020	100.00	68,197.94	12/28/2020	67,400.00	0.00	797.94	Box 6 - Net
<b>Security Totals:</b>		<b>445,769.01</b>		<b>438,874.64</b>		<b>6,894.37</b>	
PUT TSLA 10/23/20	420	TESLA INC   CUSIP:   Symbol: TSLA201023P00420000					
10/21/2020	1.00	72.88	10/13/2020	0.00	0.00	72.88	Buy to Close

\* This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported. Taxpayers are reminded that they are ultimately responsible for the accuracy of their tax returns.

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

(continued)

02/03/2021

## SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

Report on Form 8949, Part I with Box A checked.

Box 2: Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)

Box 5: Box Not Checked (Covered Security)

Box 6: Gross (unless indicated as Net in Additional Notes Column)

Box 12: Basis Reported to the IRS

The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS but may be helpful to complete your return.

## 1a - Description of property | CUSIP | Symbol

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
PUT TSLA 12/31/20	655	TESLA INC   CUSIP:   Symbol: TSLA201231P00655000					
12/31/2020	1.00	1.45	12/29/2020	780.54	0.00	-779.09	Sell to Close
CALL TSLA 12/11/20	625	TESLA INC   CUSIP:   Symbol: TSLA201211C00625000					
12/11/2020	1.00	1,998.37	12/08/2020	0.00	0.00	1,998.37	Buy to Close
CALL TSLA 12/18/20	625	TESLA INC   CUSIP:   Symbol: TSLA201218C00625000					
12/18/2020	1.00	-2,251.15	12/15/2020	0.00	0.00	-2,251.15	Buy to Close
PUT TSLA 11/13/20	410	TESLA INC   CUSIP:   Symbol: TSLA201113P00410000					
11/13/2020	1.00	198.90	11/06/2020	0.00	0.00	198.90	Buy to Close
CALL DKNG 12/04/20	60	DRAFTKINGS INC CL A   CUSIP:   Symbol: DKNG201204C00060000					
	2.00	114.91	12/04/2020	0.00	0.00	114.91	Expiration
CALL WRK 09/18/20	32.50	WESTROCK COMPANY   CUSIP:   Symbol: WRK200918C00032500					
09/18/2020	1.00	-321.09	08/24/2020	0.00	0.00	-321.09	Buy to Close
CALL BLNK 01/15/21	30	BLINK CHARGING CO   CUSIP:   Symbol: BLNK210115C00030000					
12/22/2020	2.00	2,998.86	11/24/2020	1,341.07	0.00	1,657.79	Sell to Close
PUT DKNG 07/10/20	35	DRAFTKINGS INC CL A   CUSIP:   Symbol: DKNG200710P00035000					
07/09/2020	1.00	-91.09	06/24/2020	0.00	0.00	-91.09	Buy to Close
PUT DOW 07/31/20	40	DOW INC   CUSIP:   Symbol: DOW200731P00040000					
07/21/2020	1.00	159.91	07/01/2020	0.00	0.00	159.91	Buy to Close
PUT UBER 06/19/20	30	UBER TECHNOLOGIES INC   CUSIP:   Symbol: UBER200619P00030000					
06/16/2020	1.00	55.91	06/11/2020	0.00	0.00	55.91	Buy to Close
PUT TSLA 10/09/20	405	TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA201009P00405000					
10/09/2020	1.00	998.39	10/02/2020	0.00	0.00	998.39	Buy to Close
CALL DKNG 10/23/20	59	DRAFTKINGS INC CL A   CUSIP:   Symbol: DKNG201023C00059000					
10/14/2020	2.00	167.85	10/12/2020	0.00	0.00	167.85	Buy to Close
VANGUARD INDEX FUNDS		VANGUARD HIGH DIVIDEND YIELD ETF   CUSIP: 921946406   Symbol: VYM					
10/05/2020	50.00	4,102.93	03/13/2020	3,512.50	0.00	590.43	Sale
PUT DKNG 08/28/20	33	DRAFTKINGS INC CL A   CUSIP:   Symbol: DKNG200828P00033000					
08/18/2020	1.00	253.91	08/12/2020	0.00	0.00	253.91	Buy to Close
PUT FB 07/02/20	225	FACEBOOK INC CL A   CUSIP:   Symbol: FB200702P00225000					
07/01/2020	1.00	351.91	06/18/2020	0.00	0.00	351.91	Buy to Close

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

(continued)

02/03/2021

## SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

Report on Form 8949, Part I with Box A checked.

Box 2: Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)

Box 5: Box Not Checked (Covered Security)

Box 6: Gross (unless indicated as Net in Additional Notes Column)

Box 12: Basis Reported to the IRS

The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS but may be helpful to complete your return.

## 1a - Description of property | CUSIP | Symbol

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL WRK 08/21/20	32.50	WESTROCK COMPANY   CUSIP:   Symbol: WRK200821C00032500					
	1.00	109.45	08/21/2020	0.00	0.00	109.45	Expiration
PUT FB 08/28/20	260	FACEBOOK INC CL A   CUSIP:   Symbol: FB200828P00260000					
08/25/2020	1.00	664.90	08/14/2020	0.00	0.00	664.90	Buy to Close
PUT DOW 07/02/20	40	DOW INC   CUSIP:   Symbol: DOW200702P00040000					
06/29/2020	1.00	45.91	06/18/2020	0.00	0.00	45.91	Buy to Close
CALL DKNG 08/28/20	40	DRAFTKINGS INC CL A   CUSIP:   Symbol: DKNG200828C00040000					
08/24/2020	2.00	226.82	Various	0.00	0.00	226.82	Buy to Close
CALL DKNG 11/27/20	58	DRAFTKINGS INC CL A   CUSIP:   Symbol: DKNG201127C00058000					
11/27/2020	2.00	101.84	10/27/2020	0.00	0.00	101.84	Buy to Close
DRAFTKINGS INC		CLASS A COMMON STOCK   CUSIP: 26142R104   Symbol: DKNG					
09/18/2020	200.00	8,780.72	Various	7,314.10	0.00	1,466.62	Sale Box 6 - Net
12/29/2020	200.00	9,621.44	10/09/2020	11,731.09	0.00	-2,109.65	Sale
<b>Security Totals:</b>		<b>18,402.16</b>		<b>19,045.19</b>		<b>-643.03</b>	
PUT TSLA 09/18/20	425	TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA200918P00425000					
09/18/2020	1.00	923.39	09/16/2020	0.00	0.00	923.39	Buy to Close
PUT DKNG 07/31/20	32	DRAFTKINGS INC CL A   CUSIP:   Symbol: DKNG200731P00032000					
07/21/2020	1.00	241.91	07/15/2020	0.00	0.00	241.91	Buy to Close
PUT TSLA 10/30/20	400	TESLA INC   CUSIP:   Symbol: TSLA201030P00400000					
10/23/2020	1.00	323.90	10/23/2020	0.00	0.00	323.90	Buy to Close
PUT TSLA 11/06/20	395	TESLA INC   CUSIP:   Symbol: TSLA201106P00395000					
11/06/2020	1.00	998.39	10/28/2020	0.00	0.00	998.39	Buy to Close
PUT FB 08/14/20	250	FACEBOOK INC CL A   CUSIP:   Symbol: FB200814P00250000					
08/06/2020	1.00	1,283.88	07/21/2020	0.00	0.00	1,283.88	Buy to Close
CALL PTON 11/13/20	140	PELTON INTERACTIVE INC CL A   CUSIP:   Symbol: PTON201113C00140000					
	1.00	449.45	11/13/2020	0.00	0.00	449.45	Expiration
PUT TSLA 12/24/20	645	TESLA INC   CUSIP:   Symbol: TSLA201224P00645000					
12/24/2020	1.00	70.45	12/23/2020	620.54	0.00	-550.09	Sell to Close
WESTROCK COMPANY		COM   CUSIP: 96145D105   Symbol: WRK					
11/20/2020	100.00	4,224.36	03/09/2020	2,698.47	0.00	1,525.89	Sale Box 6 - Net

\* This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported. Taxpayers are reminded that they are ultimately responsible for the accuracy of their tax returns.

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

(continued)

02/03/2021

## SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

Report on Form 8949, Part I with Box A checked.

Box 2: Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)

Box 5: Box Not Checked (Covered Security)

Box 6: Gross (unless indicated as Net in Additional Notes Column)

Box 12: Basis Reported to the IRS

The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS but may be helpful to complete your return.

## 1a - Description of property | CUSIP | Symbol

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
PUT KO 07/17/20	45	COCA COLA CO   CUSIP:   Symbol: KO200717P00045000					
07/15/2020	1.00	73.91	07/06/2020	0.00	0.00	73.91	Buy to Close
PUT TSLA 09/04/20	350	TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA200904P00350000					
09/02/2020	5.00	1,096.75	08/28/2020	0.00	0.00	1,096.75	Buy to Close
CALL WRK 11/20/20	37.50	WESTROCK COMPANY   CUSIP:   Symbol: WRK201120C00037500					
10/12/2020	1.00	-90.09	10/09/2020	0.00	0.00	-90.09	Buy to Close
PUT KO 07/10/20	46	COCA COLA CO   CUSIP:   Symbol: KO200710P00046000					
07/06/2020	1.00	-21.09	06/23/2020	0.00	0.00	-21.09	Buy to Close
PUT NIO 11/20/20	50	NIO INC ADS   CUSIP:   Symbol: NIO201120P00050000					
11/20/2020	1.00	523.91	11/13/2020	0.00	0.00	523.91	Buy to Close
PUT TSLA 10/02/20	400	TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA201002P00400000					
10/02/2020	1.00	503.40	09/29/2020	0.00	0.00	503.40	Buy to Close
PUT TSLA 10/16/20	415	TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA201016P00415000					
10/16/2020	1.00	503.40	10/09/2020	0.00	0.00	503.40	Buy to Close
PUT TSLA 08/28/20	1650	TESLA INC   CUSIP:   Symbol: TSLA200828P01650000					
08/26/2020	1.00	948.89	08/20/2020	0.00	0.00	948.89	Buy to Close
PUT TSLA 10/23/20	400	TESLA INC   CUSIP:   Symbol: TSLA201023P00400000					
10/23/2020	1.00	498.40	10/16/2020	0.00	0.00	498.40	Buy to Close
CALL TSLA 12/04/20	580	TESLA INC   CUSIP:   Symbol: TSLA201204C00580000					
12/02/2020	1.00	1,485.87	12/01/2020	0.00	0.00	1,485.87	Buy to Close
PUT TSLA 11/27/20	390	TESLA INC   CUSIP:   Symbol: TSLA201127P00390000					
11/23/2020	1.00	640.90	11/16/2020	0.00	0.00	640.90	Buy to Close
PUT FDX 07/17/20	130	FEDEX CORP   CUSIP:   Symbol: FDX200717P00130000					
07/01/2020	1.00	523.90	06/22/2020	0.00	0.00	523.90	Buy to Close
PUT TSLA 09/18/20	385	TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol: TSLA200918P00385000					
09/15/2020	1.00	3,833.83	09/09/2020	0.00	0.00	3,833.83	Buy to Close
CALL WRK 11/20/20	35	WESTROCK COMPANY   CUSIP:   Symbol: WRK201120C00035000					
10/09/2020	1.00	-28.09	09/18/2020	0.00	0.00	-28.09	Buy to Close
CALL DKNG 07/31/20	40	DRAFTKINGS INC CL A   CUSIP:   Symbol: DKNG200731C00040000					
07/31/2020	1.00	59.91	07/15/2020	0.00	0.00	59.91	Buy to Close

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2020 Form 1099-B\*

OMB No. 1545-0715

(continued)

02/03/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

Report on Form 8949, Part I with Box A checked.

**Box 2:** Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)**Box 5:** Box Not Checked (Covered Security)**Box 6:** Gross (unless indicated as Net in Additional Notes Column)**Box 12:** Basis Reported to the IRS

The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS but may be helpful to complete your return.

**1a - Description of property | CUSIP | Symbol**

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
PUT TSLA 12/04/20	560	TESLA INC   CUSIP:   Symbol: TSLA201204P00560000					
12/04/2020	1.00	1,098.39	11/27/2020	0.00	0.00	1,098.39	Buy to Close
CALL DKNG 09/11/20	40	DRAFTKINGS INC CL A   CUSIP:   Symbol: DKNG200911C00040000					
09/11/2020	2.00	-340.15	08/24/2020	0.00	0.00	-340.15	Buy to Close
CALL DKNG 12/18/20	60	DRAFTKINGS INC CL A   CUSIP:   Symbol: DKNG201218C00060000					
12/16/2020	2.00	37.84	12/08/2020	0.00	0.00	37.84	Buy to Close
PUT DKNG 07/02/20	30	DRAFTKINGS INC CL A   CUSIP:   Symbol: DKNG200702P00030000					
06/15/2020	3.00	188.75	06/11/2020	0.00	0.00	188.75	Buy to Close
BIONANO GENOMICS INC		COMMON STOCK   CUSIP: 09075F107   Symbol: BNGO					
12/30/2020	100.00	190.04	12/30/2020	174.40	0.00	15.64	Sale
12/30/2020	900.00	1,742.01	12/30/2020	1,569.55	0.00	172.46	Sale
<b>Security Totals:</b>		<b>1,932.05</b>		<b>1,743.95</b>		<b>188.10</b>	
PUT DKNG 09/25/20	50	DRAFTKINGS INC CL A   CUSIP:   Symbol: DKNG200925P00050000					
09/25/2020	2.00	277.84	09/21/2020	0.00	0.00	277.84	Buy to Close
PUT DKNG 07/17/20	34	DRAFTKINGS INC CL A   CUSIP:   Symbol: DKNG200717P00034000					
07/15/2020	1.00	40.91	07/09/2020	0.00	0.00	40.91	Buy to Close
PUT DKNG 10/09/20	52	DRAFTKINGS INC CL A   CUSIP:   Symbol: DKNG201009P00052000					
10/02/2020	2.00	257.84	09/29/2020	0.00	0.00	257.84	Buy to Close
CALL NIO 12/18/20	50	NIO INC ADS   CUSIP:   Symbol: NIO201218C00050000					
12/15/2020	1.00	213.91	12/04/2020	0.00	0.00	213.91	Buy to Close
CALL DKNG 07/17/20	40	DRAFTKINGS INC CL A   CUSIP:   Symbol: DKNG200717C00040000					
07/15/2020	1.00	35.41	07/06/2020	0.00	0.00	35.41	Buy to Close
<b>Totals:</b>		<b>491,844.33</b>		<b>468,616.90</b>		<b>23,227.43</b>	





APEX CLEARING

## Miscellaneous Income - Details of Form 1099-MISC

2020

02/03/2021

This section of the information statement provides payment-level details for royalty distributions and substitute payments in lieu of dividends and interest that are reported in aggregate on Form 1099-MISC. Links to tax information booklets for royalty trusts relevant to your account, if any, are provided at the end of this information statement.

Description   CUSIP   Symbol						
Date	Royalties (Box 2)	Other Income (Box 3)	Substitute Payments in Lieu of Dividends or Interest (Box 8)	Federal Income Tax Withheld (Box 4)	State Tax Withheld (Box 15)	State (Box 13) State Identification No. (Box 14)
SPDR DOW JONES INDL AVERAGE ETF TR UNIT SER 1   CUSIP: 78467X109   Symbol: DIA						
11/16/2020	0.00	0.00	1.17	0.00	0.00	
12/14/2020	0.00	0.00	6.52	0.00	0.00	
<b>Security Totals:</b>	<b>0.00</b>	<b>0.00</b>	<b>7.69</b>	<b>0.00</b>	<b>0.00</b>	
INVESCO QQQ TR UNIT SER 1   CUSIP: 46090E103   Symbol: QQQ						
12/31/2020	0.00	0.00	5.61	0.00	0.00	
WESTROCK COMPANY COM   CUSIP: 96145D105   Symbol: WRK						
11/24/2020	0.00	0.00	20.00	0.00	0.00	
<b>Totals:</b>	<b>0.00</b>	<b>0.00</b>	<b>33.30</b>	<b>0.00</b>	<b>0.00</b>	

APEX CLEARING

**Supplemental Information**

2020

02/03/2021

The supplemental information provided below contains additional details that may assist in your tax return preparation.

**Fees & Expenses**

Description	Amount
Margin Interest Expense	
12/16/2020	53.81
12/31/2020	33.73
<b>Total:</b>	<b>87.54</b>
<b>Totals:</b>	<b>87.54</b>

**Common Instructions for Recipient**

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

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

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

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

**Nominees.** If this form includes amounts belonging to another person, you are considered a nominee recipient. You must file as the "payer" the respective Form 1099 (DIV, INT, or OID) Copy A (with a Form 1096) to the IRS for each of the other owners as recipient(s) to show their allocable share of the income and you must furnish the respective Copy B Form(s) and amounts to each owner. A spouse is not required to file a nominee return to show amounts owned by the other spouse. See the 2020 General Instructions for Certain Information Returns.

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

**Box 1a.** Shows total ordinary dividends that are taxable. Include this amount on the "Ordinary dividends" line of 1040 or 1040-SR. Also, report it on Schedule B (1040 or 1040-SR), if required.

**Box 1b.** Shows the portion of the amount in box 1a that may be eligible for reduced capital gains rates. See the Instructions for Forms 1040 and 1040-SR for how to determine this amount and where to report.

The amount shown may be dividends a corporation paid directly to you as a participant (or beneficiary of a participant) in an employee stock ownership plan (ESOP). Report it as a dividend on your Form 1040 or 1040-SR but treat it as a plan distribution, not as investment income, for any other purpose.

**Box 2a.** Shows total capital gain distributions from a regulated investment company (RIC) or real estate investment trust (REIT). See *How To Report in the Instructions for Schedule D (Form 1040 or 1040-SR)*. But, if no amount is shown in boxes 2c and 2d and your only capital gains and losses are capital gain distributions, you may be able to report the amounts shown in box 2a on your Form 1040 or 1040-SR rather than Schedule D. See the Instructions for Forms 1040 or 1040-SR.

**Box 2b.** Shows the portion of the amount in box 2a that is unrecaptured section 1250 gain from certain depreciable real property. See the Unrecaptured Section 1250 Gain Worksheet in the Instructions for Schedule D (Form 1040 or 1040-SR).

**Box 2c.** Shows the portion of the amount in box 2a that is section 1202 gain from certain small business stock that may be subject to an exclusion. See the Schedule D (Form 1040 or 1040-SR) instructions.

**Box 2d.** Shows 28% rate gain from sales or exchanges of collectibles. If required, use this amount when completing the 28% Rate Gain Worksheet in the Instructions for Schedule D (Form 1040 or 1040-SR).

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

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

**Box 5.** Shows the portion of the amount in box 1a that may be eligible for the 20% qualified business income deduction under section 199A. See the instructions for Form 8995 and Form 89950-A.

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

**Box 7.** Shows the foreign tax that you may be able to claim as a deduction or a credit on Form 1040 or 1040-SR. See the Instructions for Forms 1040 or 104-SR.

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

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

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

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

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

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

**1099-INT Instructions for Recipient**

The information provided may be different for covered and noncovered securities. For a description of covered securities, see the Instructions for Form 8949. For a taxable covered security acquired at a premium, unless you notified the payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to amortize the premium under section 171, or for a tax-exempt covered security acquired at a premium, your payer generally must report either (1) a net amount of interest that reflects the offset of the amount of interest paid to you by the amount of premium amortization allocable to the payment(s), or (2) a gross amount for both the interest paid to you and the premium amortization allocable to the payment(s). If you did not notify your payer that you did not want to amortize the premium on a taxable covered security, then your payer will only report the gross amount of interest paid to you. For a noncovered security acquired at a premium, your payer is only required to report the gross amount of interest paid to you.

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

**Box 2.** Shows interest or principal forfeited because of early withdrawal of time savings. You may deduct this amount to figure your adjusted gross income on your income tax return. See the Instructions for Form 1040 and 1040-SR to see where to take the deduction.

**Box 3.** Shows interest on U.S. Savings Bonds, Treasury bills, Treasury bonds, and Treasury notes. This may or may not all be taxable. See Pub. 550. This interest is exempt from state and local income taxes. This interest is not included in box 1. See the instructions above for a taxable covered security acquired at a premium.

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

**Box 5.** Any amount shown is your share of investment expenses of a single-class REMIC. This amount is included in box 1. **Note** This amount is not deductible.

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

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

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

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

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

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

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

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

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

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

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

**1099-B Instructions for Recipient**

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

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

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

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

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

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

**Box 1d.** Shows the cash proceeds, reduced by any commissions or transfer taxes related to the sale, for transactions involving stocks, debt, commodities, forward contracts, non-Section 1256 option contracts, or securities futures contracts. May show the proceeds

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

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

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

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

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

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

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

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

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

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

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

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

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

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

**Box 11.** Boxes 8, 9, and 10 are all used to figure the aggregate profit or (loss) on regulated futures, foreign currency, or Section 1256 option contracts for the year. Include this amount on your 2020 Form 6781.

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

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

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

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

#### 1099-MISC Instructions for Recipient

**Amounts shown may be subject to self-employment (SE) tax.** If your net income from self-employment is \$400 or more, you must file a return and compute your SE tax on Schedule SE (Form 1040 or Form 1040-SR). See Pub. 334 for more information. **Note** If you are still receiving payments on which no income, social security, and Medicare taxes are withheld, you should make estimated tax payments. See Form 1040-ES (or Form 1040-ES-NR). Individuals must report these amounts as explained in the box 14 instructions on this page. Corporations, fiduciaries, or partnerships must report the amounts on the proper line of their tax returns.

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

**Box 1.** Report rents from real estate on Schedule E (Form 1040 or Form 1040-SR). However, report rents on Schedule C (Form 1040 or Form 1040-SR) if you provided significant services to the tenant, sold real estate as a business, or rented personal property as a business. See Pub. 527.

**Box 2.** Report royalties from oil, gas, or mineral properties, copyrights, and patents on Schedule E (Form 1040 or Form 1040-SR). However, report payments for a working interest as explained in the Schedule E (Form 1040 or Form 1040-SR) instructions. For royalties on timber, coal, and iron ore, see Pub. 544.

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

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

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

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

**Box 7.** If checked, \$5,000 or more of sales of consumer products was sold to you on buy-sell, deposit-commission, or other basis. A dollar amount does not have to be shown. Generally, report any income from your sale of these products on Schedule C (Form 1040 or 1040-SR).

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

**Box 9.** Report this amount on Schedule F (Form 1040 or Form 1040-SR).

**Box 10.** Shows gross proceeds paid to an attorney in connection with legal services. Report only the taxable part as income on your return.

**Box 12.** May show current year deferrals as a nonemployee under a nonqualified deferred compensation (NQDC) plan that is subject to the requirements of section 409A, plus any earnings on current and prior year deferrals. The amount is also shown in box 1 of Form 1099-NEC.

**Box 13.** Shows your total compensation of excess golden parachute payments subject to a 20% excise tax. See your tax return instructions for where to report.

**Box 14.** Shows income as a nonemployee under an NQDC plan that does not meet the requirements of section 409A. This amount is also included in box 1, Form 1099-NEC as nonemployee compensation. Any amount included in box 12 that is currently taxable is also included in this box. This income is also subject to a substantial additional tax to be reported on Form 1040, 1040-SR, or 1040-NR. See the Instructions for Forms 1040 and 1040-SR, or the instructions for Form 1040-NR.

**Box 15-17.** Show state or local income tax withheld from the payments.

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

#### 1099-OID Instructions for Recipient

Original issue discount (OID) is the excess of an obligation's stated redemption price at maturity over its issue price (acquisition price for a stripped bond or coupon). OID on a taxable obligation is taxable as interest over the life of the obligation. If you are the holder of a taxable OID

obligation, generally you must include an amount of OID in your gross income each year you hold the obligation. Obligations that may have OID include a bond, debenture, note, certificate, or other evidence of indebtedness having a term of more than 1 year. For example, the OID rules may apply to certificates of deposit (CDs), time deposits, bonus savings plans, and other deposit arrangements, especially if the payment of interest is deferred until maturity. In addition, the OID rules apply to Treasury inflation-protected securities. See Pub. 550 for more information.

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

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

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

**Box 2.** Shows qualified stated interest on this obligation for the year, which is an amount separate from the OID. If you held the obligation the entire year, report this amount as interest income on your tax return. If you disposed of the obligation or acquired it from another holder during the year, see Pub. 550 for reporting instructions. If there is an amount in both boxes 2 and 8, the amount in box 2 is interest on a U.S. Treasury obligation and is exempt from state and local income taxes. If there is an amount in both boxes 2 and 11, the amount in box 2 is tax-exempt interest

and is not included in interest income on your tax return. In general, see how to report tax-exempt interest in the Instructions for Form 1040 and 1040-SR.

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

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

withheld.

**Box 5.** For a covered security acquired with OID, if you made an election under section 1278(b) to include market discount in income as it accrues and you notified your payer of the election in writing in accordance with Regulations section 1.6045-1(n)(5), shows the market discount that accrued on the debt instrument during the year while held by you. For a tax-exempt obligation that is a covered security acquired on or after January 1, 2017, and issued with O D, shows the market discount that accrued on the obligation during the year while held by you. For a covered

security acquired on or after January 1, 2015, market discount will be calculated on a constant yield basis unless you notified your payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to make a constant yield election for market discount under section 1276(b). The payer may, but is not required to, report the market discount for a tax-exempt obligation that is a covered security acquired before January 1, 2017. Report the accrued market discount on your income tax return as directed in the Instructions for Form 1040 and 1040-SR. Market discount on a tax-exempt security is includible in taxable income as interest income.

**Box 6.** For a taxable covered security, shows the amount of acquisition premium amortization for the year that reduces the amount of OID that is included as interest on your income tax return. If an amount is reported in this box, see the Instructions Schedule B (Form 1040 or 1040-SR). If an amount is not reported in this box for a covered security acquired with acquisition premium, the payer has reported a net amount of O D that reflects the offset of OID that is included in income. If the payer has reported a net amount of O D in box 1 or box 8, you must report the net amount of O D on Schedule B (Form 1040 or 1040-SR) and you must not make an adjustment to this amount for acquisition premium on Schedule B (Form 1040 or 1040-SR).

If there is an amount in both boxes 6 and 11, for a tax-exempt obligation that is a covered security acquired on or after January 1, 2017, and issued with OID, the amount in box 6 shows the amount of acquisition premium amortization for the year that reduces the amount of your tax-exempt O D for the year. The payer may, but is not required to, report the acquisition premium for a tax-exempt obligation that is a covered security acquired before January 1, 2017, and issued with O D. See the instructions above for a covered security acquired with acquisition premium.

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

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

**Box 9.** Any amount shown is your share of investment expenses of a single-class REMIC. This amount is included in box 2. **Note** This amount is not deductible.

**Box 10.** For a taxable covered security, including a Treasury inflation-protected security, shows the amount of premium amortization allocable to the interest payment(s), unless you notified the payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to

amortize bond premium under section 171. If an amount is reported in this box, see the Instructions for Schedule B (Form 1040 or 1040-SR). If an amount is not reported in this box for a taxable covered security acquired at a premium and the payer is reporting premium amortization, the payer has

reported a net amount of interest in box 2. If the amount in this box is greater than the amount of interest paid on the covered security, see Regulations section 1.171-2(a)(4).

If there is an amount in both boxes 10 and 11, for a tax-exempt obligation that is a covered security acquired on or after January 1, 2017, and issued with OID, the amount in box 10 shows the amount of premium amortization for the year that reduces the amount of your tax-exempt interest for the year. The payer may, but is not required to, report the premium amortization for a tax-exempt obligation that is a covered security acquired before January 1, 2017, and issued with OID.

**Box 11.** For a tax-exempt obligation that is a covered security acquired on or after January 1, 2017, shows the tax-exempt OID on the obligation for the part of the year you owned it. The payer may, but is not required to, report the OID for a tax-exempt obligation that is a covered security

acquired before January 1, 2017. In general, report the amount of tax-exempt O D on Form 1040 or 1040-SR. See the instructions above for a covered security acquired with acquisition premium.

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

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

APEX CLEARING  
ONE DALLAS CENTER  
350 NORTH ST PAUL SUITE 1300  
DALLAS, TX 75201

IN ACCOUNT WITH

**Ally Invest**  
**855-880-2559**

BRADFORD NEUMANN  
ELIZABETH NEUMANN JTWROS

[REDACTED]  
[REDACTED]

**IMPORTANT YEAR END MESSAGES**

This document includes your Consolidated Form 1099 that we are required to provide to you and contains information that we are providing to the Internal Revenue Service and additional information that may be helpful to you for filing your tax return. You may wish to seek the advice of a tax professional when preparing your return.

Please verify your personal information for accuracy and contact us to correct any discrepancies. If you own Mutual Funds, Real Estate Trusts (REITs), REMIC Securities or certain fixed investment trusts (WHFITs), income distributions may be reclassified by the issuer after the original 1099 is sent. If you hold these securities or another security that is subject to a reclassification event, you may receive a corrected Form 1099.

This page is intentionally left blank.

<b>APEX CLEARING</b> ONE DALLAS CENTER 350 NORTH ST PAUL SUITE 1300 DALLAS, TX 75201 Customer Service: 214-765-1009  PAYER'S Federal ID No: [REDACTED]  IN ACCOUNT WITH  <b>Ally Invest</b> <b>(855) 880-2559</b>	<b>Account</b> [REDACTED]	<b>Form 1099 Composite</b>	<b>2021</b>
	BRADFORD NEUMANN [REDACTED] [REDACTED]	Statement Date: 02/10/2022	
	RECIPIENT'S ID No: XXX-XX [REDACTED]		

FATCA filing requirement [ ]

### Tax Reporting Statement

DIVIDENDS AND DISTRIBUTIONS	2021 Form 1099-DIV*	OMB No. 1545-0110
1a- Total Ordinary Dividends (includes amount shown on 1b, 2e)	1,349.88	
1b- Qualified Dividends	1,177.22	
2a- Total Capital Gain Distributions (includes lines 2b, 2c, 2d, 2f)	5.56	
2b- Unrecaptured Section 1250 gain	4.22	
2c- Section 1202 Gain	0.00	
2d- Collectibles (28%) Gain	0.00	
2e- Section 897 Ordinary Dividends	0.00	
2f- Section 897 Capital Gain	0.00	
3- Nondividend Distributions	214.35	
<b>4- Federal Income Tax Withheld</b>	<b>0.00</b>	
5- Section 199A Dividends	100.26	
6- Investment Expenses	0.00	
7- Foreign tax Paid	0.00	
8- Foreign country or US Possession		
9- Cash Liquidation Distributions	0.00	
10- Noncash Liquidation Distribution	0.00	
11- Exempt-Interest Dividends	0.00	
12- Specified Private Activity Bond Interest Dividends	0.00	

MISCELLANEOUS INFORMATION	2021 Form 1099-MISC*	OMB No. 1545-0115
2- Royalties	0.00	
3- Other Income	0.00	
<b>4- Federal Income Tax Withheld</b>	<b>0.00</b>	
8- Substitute Payments in Lieu of Dividends or Interest	255.71	

INTEREST INCOME	2021 Form 1099-INT*	OMB No. 1545-0112
1- Interest Income	115.68	
2- Early Withdrawal Penalty	0.00	
3- Interest on U.S. Savings Bonds & Treasury Obligations	0.00	
<b>4- Federal Income Tax Withheld</b>	<b>0.00</b>	
5- Investment Expenses	0.00	
6- Foreign Tax Paid	0.00	
7- Foreign Country or U.S. Possession		
8- Tax-Exempt Interest (includes box 9)	0.00	
9- Specified Private Activity Bond Interest	0.00	
10- Market Discount	0.00	
11- Bond Premium	0.00	
12- Bond Premium on Treasury Obligations	0.00	
13- Bond Premium on Tax-Exempt Bonds	0.00	
14- Tax-Exempt and Tax Credit Bond CUSIP no.		

REGULATED FUTURES CONTRACTS & SECTION 1256 OPTIONS	2021 Form 1099-B*	OMB No. 1545-0715
8- Profit or (loss) realized in 2021 on closed contracts	0.00	
9- Unrealized profit or (loss) on open contracts - 12/31/2020	0.00	
10- Unrealized profit or (loss) on open contracts - 12/31/2021	0.00	
11- Aggregate profit or (loss) on contracts	0.00	
<i>As applicable, proceeds from other sale transactions are summarized below and details are provided in subsequent sections of this document. More details on futures and section 1256 options transactions are also provided in other sections of this document.</i>		

APEX CLEARING

**Tax Summary**

2021

02/10/2022

**Summary Of Sale Proceeds**

Proceeds from sales of securities are reported individually by trade to the Internal Revenue Service. Please refer to the Proceeds from Broker and Barter Exchange Transactions details sections to determine correct amounts to include in your tax return. The summary transaction amounts shown below are for informational purposes.

Section	Total Proceeds	Total Cost Basis	Total Market Discount	Wash Sale Loss Disallowed	Total Net Gain or Loss(-)
Short-term transactions for covered tax lots	546,881.61	479,187.25	0.00	7,790.38	75,484.74
Short-term transactions for noncovered tax lots	0.00	0.00	0.00	0.00	0.00
<b>Total Short-term</b>	<b>546,881.61</b>	<b>479,187.25</b>	<b>0.00</b>	<b>7,790.38</b>	<b>75,484.74</b>
Long-term transactions for covered tax lots	39,573.37	26,564.91	0.00	0.00	13,008.46
Long-term transactions for noncovered tax lots	0.00	0.00	0.00	0.00	0.00
<b>Total Long-term</b>	<b>39,573.37</b>	<b>26,564.91</b>	<b>0.00</b>	<b>0.00</b>	<b>13,008.46</b>
Undetermined transactions for noncovered tax lots	0.00	0.00	0.00	0.00	0.00
<b>Total Undetermined-term</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>

**ORIGINAL ISSUE DISCOUNT SUMMARY\***

Original Issue Discount (Non-US Treasury Obligations)	0.00
Original Issue Discount on U.S. Treasury Obligations	0.00
Other Periodic Interest	0.00
Market Discount – Covered Positions	0.00
Acquisition Premium – Covered Positions	0.00
Bond Premium – Covered Positions	0.00
Tax-Exempt OID – Covered Positions	0.00
Tax-Exempt OID – Specified Private Activity Bonds – Covered Positions	0.00
Investment Expenses	0.00

\*Amounts shown in this section are summary totals for your reference. For bond-by-bond detail, use the OID section of this document.

**FEDERAL TAX WITHHELD**

Form	Federal Income Tax Withheld
1099-B Total (aggregate):	0.00
1099-DIV Total:	0.00
1099-INT Total:	0.00
1099-MISC Total:	0.00
1099-OID Total:	0.00

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

02/10/2022

OMB No. 1545-0715

The following information is being provided to assist in your review and the preparation of your tax return.

This Form 1099-B – Proceeds from Broker and Barter Exchange Transactions provides information relating to sales of securities in your account. The sales details are organized into potentially five separate sections depending on your holding period in the security for the sale (short-term vs long-term) and whether the security is considered a “covered security” for tax reporting purpose. For covered securities, cost basis (adjusted as required under tax regulations) is being reported to the Internal Revenue Service (IRS), whereas for noncovered securities, cost basis if set forth below is provided only for your information.

A separate category is provided for sales of securities for which we do not know your holding period. For such tax lots, you will need to use your historical documents to determine your holding period (whether short-term or long-term) and your tax basis.

Unless noted otherwise under the column “Additional Notes”, cost basis and corresponding gain or loss is determined by treating tax lots acquired first as being sold first. We have also assumed that you have made an election to amortize premium on the purchase of taxable bonds.

As brokers, we are only required to apply wash sales loss disallowance rules to securities with the same CUSIP or identifier and purchased and sold within the same account. We are also not required to apply wash sales rules across covered and noncovered securities. You as the taxpayer, however, generally have broader obligations under the wash sales rules to determine disallowed losses, and you may wish to consult with a tax adviser as to the application of such rules to you.

Sales of certain contingent payment debt instruments give rise to ordinary income rather than short-term or long-term capital gain or loss. Such ordinary income treatment is indicated in the Additional Notes column as “Box 2 – Ordinary.” In addition, certain assets classified as collectibles are subject to special tax treatment. Any such classification is noted in the Additional Notes column as “Box 3 – Collectibles Box Checked.” Loss disallowed for certain transactions involving change in control or capital structure is noted in the Additional Notes column as “Box 7 – Loss Disallowed Box Checked.” Disposition of a QOF investment is noted in the Additional Notes column as “Box 3 – QOF.”

Information in the transaction detail sections below that have a Box number is being transmitted to the IRS, whereas additional information that is not being transmitted to the IRS is not headed by a Box number. Such additional information may be helpful to you in the preparation of your tax return. Remember that taxpayers are ultimately responsible for the accuracy of their tax returns.

FATCA filing requirement [ ]

## SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

Report on Form 8949, Part I with Box A checked.

Box 2: Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)

Box 5: Box Not Checked (Covered Security)

Box 6: Gross (unless indicated as Net in Additional Notes Column)

Box 12: Basis Reported to the IRS

The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS but may be helpful to complete your return.

### Description of property | CUSIP | Symbol(Box 1a)

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
PUT TSLA 10/15/21	650	TESLA INC   CUSIP:   Symbol(Box 1a): TSLA211015P00650000					
10/13/2021	1.00	447.95	10/05/2021	0.00	0.00	447.95	Buy to Close
PUT TSLA 06/11/21	540	TESLA INC   CUSIP:   Symbol(Box 1a): TSLA210611P00540000					
06/09/2021	1.00	375.93	06/04/2021	0.00	0.00	375.93	Buy to Close
PUT TSLA 09/03/21	660	TESLA INC   CUSIP:   Symbol(Box 1a): TSLA210903P00660000					
09/03/2021	1.00	524.93	08/26/2021	0.00	0.00	524.93	Buy to Close

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

(continued)

02/10/2022

OMB No. 1545-0715

## SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

Report on Form 8949, Part I with Box A checked.

Box 2: Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)

Box 5: Box Not Checked (Covered Security)

Box 6: Gross (unless indicated as Net in Additional Notes Column)

Box 12: Basis Reported to the IRS

The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS but may be helpful to complete your return.

## Description of property | CUSIP | Symbol(Box 1a)

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
Description of property   CUSIP   Symbol(Box 1a): TSLA210903P00665000							
09/03/2021	2.00	1,947.86	08/23/2021	0.00	0.00	1,947.86	Buy to Close
Description of property   CUSIP   Symbol(Box 1a): ROKU							
08/13/2021	80.00	29,199.84	08/13/2021	28,876.04	0.00	323.80	Sale
Description of property   CUSIP   Symbol(Box 1a): TSLA211105P00850000							
11/03/2021	1.00	380.95	10/25/2021	0.00	0.00	380.95	Buy to Close
Description of property   CUSIP   Symbol(Box 1a): ARKG							
08/26/2021	100.00	8,354.05	03/16/2021	10,807.56	0.00	-2,453.51	Sale
Description of property   CUSIP   Symbol(Box 1a): RIOT211203C00039000							
12/03/2021	10.00	1,049.57	11/26/2021	0.00	0.00	1,049.57	Buy to Close
Description of property   CUSIP   Symbol(Box 1a): COIN211203C00310000							
12/02/2021	1.00	654.95	11/26/2021	0.00	0.00	654.95	Buy to Close
Description of property   CUSIP   Symbol(Box 1a): COIN211105C00300000							
11/04/2021	3.00	-10,245.17	09/30/2021	0.00	0.00	-10,245.17	Buy to Close
Description of property   CUSIP   Symbol(Box 1a): ROKU210903C00365000							
09/02/2021	1.00	640.93	08/27/2021	0.00	0.00	640.93	Buy to Close
Description of property   CUSIP   Symbol(Box 1a): FUBO210129P00035000							
	1.00	599.44	01/29/2021	0.00	0.00	599.44	Expiration
Description of property   CUSIP   Symbol(Box 1a): RIOT211112C00040000							
11/12/2021	5.00	224.77	11/03/2021	0.00	0.00	224.77	Buy to Close
Description of property   CUSIP   Symbol(Box 1a): VZ							
08/23/2021	30.00	1,667.19	12/29/2020	1,762.50	0.00	-95.31	Sale

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

(continued)

02/10/2022

OMB No. 1545-0715

## SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

Report on Form 8949, Part I with Box A checked.

Box 2: Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)

Box 5: Box Not Checked (Covered Security)

Box 6: Gross (unless indicated as Net in Additional Notes Column)

Box 12: Basis Reported to the IRS

The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS but may be helpful to complete your return.

## Description of property | CUSIP | Symbol(Box 1a)

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
Description of property   CUSIP   Symbol(Box 1a): TSLA210122P00740000							
01/21/2021	1.00	424.90	01/15/2021	0.00	0.00	424.90	Buy to Close
Description of property   CUSIP   Symbol(Box 1a): ROKU211217C00325000							
12/09/2021	3.00	308.87	12/09/2021	0.00	0.00	308.87	Buy to Close
Description of property   CUSIP   Symbol(Box 1a): TSLA210813P00660000							
08/13/2021	1.00	439.95	08/13/2021	0.00	0.00	439.95	Expiration
08/13/2021	1.00	508.93	08/02/2021	0.00	0.00	508.93	Buy to Close
<b>Security Totals:</b>		<b>948.88</b>		<b>0.00</b>		<b>948.88</b>	
Description of property   CUSIP   Symbol(Box 1a): DOW							
08/23/2021	100.00	6,221.23	02/18/2021	5,785.00	0.00	436.23	Sale
Description of property   CUSIP   Symbol(Box 1a): TSLA210611P00560000							
06/10/2021	1.00	490.93	06/04/2021	0.00	0.00	490.93	Buy to Close
Description of property   CUSIP   Symbol(Box 1a): ARKK210618P00120000							
06/17/2021	1.00	1,624.93	05/19/2021	0.00	0.00	1,624.93	Buy to Close
Description of property   CUSIP   Symbol(Box 1a): COIN211126P00315000							
11/17/2021	3.00	389.87	11/15/2021	0.00	0.00	389.87	Buy to Close
Description of property   CUSIP   Symbol(Box 1a): FUBO210702C00033000							
	2.00	299.92	07/02/2021	0.00	0.00	299.92	Expiration
Description of property   CUSIP   Symbol(Box 1a): TSLA211001P00700000							
09/24/2021	2.00	3.87	09/22/2021	0.00	0.00	3.87	Buy to Close
Description of property   CUSIP   Symbol(Box 1a): COIN211217C00307500							
	1.00	174.97	12/17/2021	0.00	0.00	174.97	Expiration

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

(continued)

02/10/2022

OMB No. 1545-0715

## SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

Report on Form 8949, Part I with Box A checked.

Box 2: Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)

Box 5: Box Not Checked (Covered Security)

Box 6: Gross (unless indicated as Net in Additional Notes Column)

Box 12: Basis Reported to the IRS

The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS but may be helpful to complete your return.

## Description of property | CUSIP | Symbol(Box 1a)

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
Description of property   CUSIP   Symbol(Box 1a): TSLA210108P00620000							
01/08/2021	1.00	523.40	12/30/2020	0.00	0.00	523.40	Buy to Close
Description of property   CUSIP   Symbol(Box 1a): ROKU211029C00355000							
10/29/2021	2.00	261.91	10/22/2021	0.00	0.00	261.91	Buy to Close
Description of property   CUSIP   Symbol(Box 1a): TSLA210910P00680000							
08/19/2021	1.00	3,599.95	08/19/2021	3,097.03	0.00	502.92	Sell to Close
09/03/2021	1.00	414.96	08/19/2021	3,097.04	0.00	-2,682.08	Sell to Close
09/03/2021	1.00	415.96	08/19/2021	3,097.03	0.00	-2,681.07	Sell to Close
<b>Security Totals:</b>		<b>4,430.87</b>		<b>9,291.10</b>		<b>-4,860.23</b>	
Description of property   CUSIP   Symbol(Box 1a): ROKU211231C00325000							
12/30/2021	3.00	134.87	12/17/2021	0.00	0.00	134.87	Buy to Close
Description of property   CUSIP   Symbol(Box 1a): TSLA211112P00850000							
11/03/2021	1.00	89.95	11/03/2021	0.00	0.00	89.95	Buy to Close
Description of property   CUSIP   Symbol(Box 1a): TAN211105C00105000							
	1.00	109.97	11/05/2021	0.00	0.00	109.97	Expiration
Description of property   CUSIP   Symbol(Box 1a): COIN211119P00315000							
11/15/2021	3.00	1,007.87	11/10/2021	0.00	0.00	1,007.87	Buy to Close
Description of property   CUSIP   Symbol(Box 1a): SQ							
08/30/2021	20.00	5,415.51	Various	4,398.02	0.00	1,017.49	Sale
Description of property   CUSIP   Symbol(Box 1a): TSLA210903P00690000							
09/02/2021	1.00	1,124.93	08/23/2021	0.00	0.00	1,124.93	Buy to Close

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

(continued)

02/10/2022

OMB No. 1545-0715

## SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

Report on Form 8949, Part I with Box A checked.

Box 2: Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)

Box 5: Box Not Checked (Covered Security)

Box 6: Gross (unless indicated as Net in Additional Notes Column)

Box 12: Basis Reported to the IRS

The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS but may be helpful to complete your return.

## Description of property | CUSIP | Symbol(Box 1a)

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
PUT TSLA 01/15/21	750	TESLA INC   CUSIP:   Symbol(Box 1a): TSLA210115P00750000					
01/15/2021	1.00	551.40	01/08/2021	0.00	0.00	551.40	Buy to Close
PUT TSLA 10/22/21	675	TESLA INC   CUSIP:   Symbol(Box 1a): TSLA211022P00675000					
10/22/2021	2.00	891.91	10/14/2021	0.00	0.00	891.91	Buy to Close
PUT COIN 09/10/21	255	COINBASE GLOBAL INC   CUSIP:   Symbol(Box 1a): COIN210910P00255000					
09/03/2021	2.00	913.86	08/30/2021	0.00	0.00	913.86	Buy to Close
PUT TSLA 09/10/21	650	TESLA INC   CUSIP:   Symbol(Box 1a): TSLA210910P00650000					
09/10/2021	2.00	989.87	08/27/2021	0.00	0.00	989.87	Buy to Close
PUT TSLA 12/10/21	850	TESLA INC   CUSIP:   Symbol(Box 1a): TSLA211210P00850000					
12/07/2021	1.00	472.95	12/02/2021	0.00	0.00	472.95	Buy to Close
CALL RIOT 12/03/21	40	RIOT BLOCKCHAIN INC   CUSIP:   Symbol(Box 1a): RIOT211203C00040000					
12/02/2021	5.00	1,084.79	11/17/2021	0.00	0.00	1,084.79	Buy to Close
PUT TSLA 09/10/21	660	TESLA INC   CUSIP:   Symbol(Box 1a): TSLA210910P00660000					
09/10/2021	2.00	805.87	09/03/2021	0.00	0.00	805.87	Buy to Close
PUT ARKW 02/19/21	160	ARK NEXT GENERATION INTRNT ETF   CUSIP:   Symbol(Box 1a): ARKW210219P00160000					
02/08/2021	1.00	1,018.89	01/11/2021	0.00	0.00	1,018.89	Buy to Close
CALL RIOT 12/17/21	39	RIOT BLOCKCHAIN INC   CUSIP:   Symbol(Box 1a): RIOT211217C00039000					
12/15/2021	3.00	89.87	12/06/2021	0.00	0.00	89.87	Buy to Close
12/16/2021	12.00	359.49	12/06/2021	0.00	0.00	359.49	Buy to Close
<b>Security Totals:</b>		<b>449.36</b>		<b>0.00</b>		<b>449.36</b>	
PUT ARKK 01/15/21	127.96	ARK INNOVATION ETF	ADJ CASH DISTRIBUTION   CUSIP:   Symbol(Box 1a): ARKK210115P00127960				
01/13/2021	1.00	611.90	12/21/2020	0.00	0.00	611.90	Buy to Close

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

(continued)

02/10/2022

OMB No. 1545-0715

## SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

Report on Form 8949, Part I with Box A checked.

Box 2: Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)

Box 5: Box Not Checked (Covered Security)

Box 6: Gross (unless indicated as Net in Additional Notes Column)

Box 12: Basis Reported to the IRS

The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS but may be helpful to complete your return.

## Description of property | CUSIP | Symbol(Box 1a)

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
PUT TSLA 06/04/21	570	TESLA INC   CUSIP:   Symbol(Box 1a): TSLA210604P00570000					
06/04/2021	1.00	708.93	05/25/2021	0.00	0.00	708.93	Buy to Close
PUT TSLA 04/16/21	580	TESLA INC   CUSIP:   Symbol(Box 1a): TSLA210416P00580000					
03/05/2021	2.00	13,999.85	03/05/2021	12,000.07	0.00	1,999.78	Sell to Close
CALL RIOT 08/20/21	47	RIOT BLOCKCHAIN INC   CUSIP:   Symbol(Box 1a): RIOT210820C00047000					
	3.00	278.87	08/20/2021	0.00	0.00	278.87	Expiration
CALL RIOT 11/05/21	40	RIOT BLOCKCHAIN INC   CUSIP:   Symbol(Box 1a): RIOT211105C00040000					
11/03/2021	5.00	224.77	10/15/2021	0.00	0.00	224.77	Buy to Close
CALL NIO 12/03/21	43	NIO INC ADS   CUSIP:   Symbol(Box 1a): NIO211203C00043000					
12/02/2021	2.00	91.91	11/18/2021	0.00	0.00	91.91	Buy to Close
CALL COIN 12/23/21	300	COINBASE GLOBAL INC   CUSIP:   Symbol(Box 1a): COIN211223C00300000					
12/20/2021	1.00	75.95	12/15/2021	0.00	0.00	75.95	Buy to Close
PUT TSLA 10/15/21	725	TESLA INC   CUSIP:   Symbol(Box 1a): TSLA211015P00725000					
09/24/2021	2.00	3,059.92	09/20/2021	7,000.06	0.00	-3,940.14	Sell to Close
CALL COIN 12/10/21	345	COINBASE GLOBAL INC   CUSIP:   Symbol(Box 1a): COIN211210C00345000					
12/03/2021	1.00	459.95	11/29/2021	0.00	0.00	459.95	Buy to Close
CALL TSLA 04/01/21	730	TESLA INC   CUSIP:   Symbol(Box 1a): TSLA210401C00730000					
03/01/2021	1.00	3,944.93	02/24/2021	6,383.04	0.00	-2,438.11	Sell to Close
***NIO INC		AMERICAN DEPOSITARY SHARES ECH RPRSNTNG ONE CL A ORD SHARE   CUSIP: 62914V106   Symbol(Box 1a): NIO					
01/08/2021	100.00	5,116.33	11/20/2020	4,400.55	0.00	715.78	Sale Box 6 - Net
06/18/2021	200.00	9,117.87	Various	8,585.57	0.00	532.30	Sale Box 6 - Net
<b>Security Totals:</b>		<b>14,234.20</b>		<b>12,986.12</b>		<b>1,248.08</b>	

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

(continued)

02/10/2022

OMB No. 1545-0715

## SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

Report on Form 8949, Part I with Box A checked.

Box 2: Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)

Box 5: Box Not Checked (Covered Security)

Box 6: Gross (unless indicated as Net in Additional Notes Column)

Box 12: Basis Reported to the IRS

The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS but may be helpful to complete your return.

## Description of property | CUSIP | Symbol(Box 1a)

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
Description of property   CUSIP   Symbol(Box 1a): TSLA210903P00680000							
08/17/2021	2.00	8,399.89	08/16/2021	5,400.07	0.00	2,999.82	Sell to Close
Description of property   CUSIP   Symbol(Box 1a): FUBO210827C00034000							
08/13/2021	2.00	199.85	08/12/2021	0.00	0.00	199.85	Buy to Close
Description of property   CUSIP   Symbol(Box 1a): RIOT211126C00038000							
11/26/2021	10.00	599.57	11/18/2021	0.00	0.00	599.57	Buy to Close
Description of property   CUSIP   Symbol(Box 1a): TSLA210723P00600000							
07/23/2021	2.00	985.86	07/15/2021	0.00	0.00	985.86	Buy to Close
Description of property   CUSIP   Symbol(Box 1a): TSLA211231P00760000							
12/23/2021	1.00	480.95	12/20/2021	0.00	0.00	480.95	Buy to Close
Description of property   CUSIP   Symbol(Box 1a): COIN211210C00307500							
12/06/2021	1.00	463.95	12/02/2021	0.00	0.00	463.95	Buy to Close
Description of property   CUSIP   Symbol(Box 1a): TSLA211112P00825000							
11/03/2021	2.00	257.91	11/03/2021	0.00	0.00	257.91	Buy to Close
Description of property   CUSIP   Symbol(Box 1a): TSLA210521C00600000							
05/21/2021	1.00	449.93	05/17/2021	0.00	0.00	449.93	Buy to Close
Description of property   CUSIP   Symbol(Box 1a): ARKG210115P00099210							
01/13/2021	1.00	463.90	12/21/2020	0.00	0.00	463.90	Buy to Close
Description of property   CUSIP   Symbol(Box 1a): COIN210820C00400000							
	1.00	109.95	08/20/2021	0.00	0.00	109.95	Expiration
Description of property   CUSIP: 30231G102   Symbol(Box 1a): XOM							
08/23/2021	100.00	5,500.42	02/08/2021	5,189.00	0.00	311.42	Sale

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

(continued)

02/10/2022

OMB No. 1545-0715

## SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

Report on Form 8949, Part I with Box A checked.

Box 2: Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)

Box 5: Box Not Checked (Covered Security)

Box 6: Gross (unless indicated as Net in Additional Notes Column)

Box 12: Basis Reported to the IRS

The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS but may be helpful to complete your return.

## Description of property | CUSIP | Symbol(Box 1a)

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
PUT TSLA 04/09/21	585	TESLA INC   CUSIP:   Symbol(Box 1a): TSLA210409P00585000					
04/06/2021	2.00	913.84	03/31/2021	0.00	0.00	913.84	Buy to Close
PUT TSLA 09/17/21	700	TESLA INC	ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol(Box 1a): TSLA210917P00700000				
09/16/2021	2.00	1,263.87	09/10/2021	0.00	0.00	1,263.87	Buy to Close
CALL RIOT 11/19/21	41	RIOT BLOCKCHAIN INC   CUSIP:   Symbol(Box 1a): RIOT211119C00041000					
11/17/2021	5.00	869.78	Various	0.00	0.00	869.78	Buy to Close
PUT TSLA 11/05/21	815	TESLA INC   CUSIP:   Symbol(Box 1a): TSLA211105P00815000					
11/03/2021	2.00	876.90	Various	0.00	0.00	876.90	Buy to Close
PUT TSLA 05/21/21	620	TESLA INC   CUSIP:   Symbol(Box 1a): TSLA210521P00620000					
05/18/2021	1.00	82.91	05/14/2021	0.00	0.00	82.91	Buy to Close
CALL TSLA 05/21/21	620	TESLA INC   CUSIP:   Symbol(Box 1a): TSLA210521C00620000					
05/17/2021	1.00	443.93	05/17/2021	0.00	0.00	443.93	Buy to Close
PUT ROKU 12/23/21	180	ROKU INC   CUSIP:   Symbol(Box 1a): ROKU211223P00180000					
12/17/2021	1.00	474.95	12/15/2021	0.00	0.00	474.95	Buy to Close
PUT TSLA 04/16/21	615	TESLA INC   CUSIP:   Symbol(Box 1a): TSLA210416P00615000					
04/14/2021	2.00	1,009.85	04/06/2021	0.00	0.00	1,009.85	Buy to Close
PUT RIOT 11/19/21	35	RIOT BLOCKCHAIN INC   CUSIP:   Symbol(Box 1a): RIOT211119P00035000					
11/15/2021	5.00	889.77	11/09/2021	0.00	0.00	889.77	Buy to Close
PUT TSLA 07/02/21	580	TESLA INC   CUSIP:   Symbol(Box 1a): TSLA210702P00580000					
07/02/2021	1.00	513.93	06/23/2021	0.00	0.00	513.93	Buy to Close
PUT TSLA 03/26/21	600	TESLA INC   CUSIP:   Symbol(Box 1a): TSLA210326P00600000					
	1.00	749.95	03/26/2021	0.00	0.00	749.95	Expiration

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

(continued)

02/10/2022

OMB No. 1545-0715

## SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

Report on Form 8949, Part I with Box A checked.

Box 2: Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)

Box 5: Box Not Checked (Covered Security)

Box 6: Gross (unless indicated as Net in Additional Notes Column)

Box 12: Basis Reported to the IRS

The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS but may be helpful to complete your return.

## Description of property | CUSIP | Symbol(Box 1a)

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
PUT DKNG 02/05/21	50						
DRAFTKINGS INC CL A   CUSIP:   Symbol(Box 1a): DKNG210205P00050000							
	1.00	549.44	02/05/2021	0.00	0.00	549.44	Expiration
PUT TSLA 10/08/21	680						
TESLA INC   CUSIP:   Symbol(Box 1a): TSLA211008P00680000							
10/06/2021	2.00	1,235.89	09/30/2021	0.00	0.00	1,235.89	Buy to Close
COIN CITADEL COMMON STOCK   CUSIP: 192589109   Symbol(Box 1a): CCTL							
08/26/2021	20,000.00	43 99	Various	540.00	0.00	-496.01	Sale
PUT TSLA 10/15/21	670						
TESLA INC   CUSIP:   Symbol(Box 1a): TSLA211015P00670000							
10/13/2021	2.00	871 91	10/06/2021	0.00	0.00	871 91	Buy to Close
CALL FUBO 04/16/21	45						
FUBOTV INC   CUSIP:   Symbol(Box 1a): FUBO210416C00045000							
03/26/2021	1.00	61 91	03/18/2021	0.00	0.00	61.91	Buy to Close
PUT TSLA 10/29/21	900						
TESLA INC   CUSIP:   Symbol(Box 1a): TSLA211029P00900000							
10/27/2021	1.00	124 97	10/22/2021	1,795.02	0.00	-1,670.05	Sell to Close
CALL FUBO 11/12/21	35						
FUBOTV INC   CUSIP:   Symbol(Box 1a): FUBO211112C00035000							
11/10/2021	2.00	399 91	11/01/2021	0.00	0.00	399 91	Buy to Close
PUT TSLA 05/07/21	655						
TESLA INC   CUSIP:   Symbol(Box 1a): TSLA210507P00655000							
05/07/2021	2.00	979.85	04/30/2021	0.00	0.00	979.85	Buy to Close
PUT ARKK 02/19/21	140						
ARK INNOVATION ETF   CUSIP:   Symbol(Box 1a): ARKK210219P00140000							
	1.00	846.44	02/19/2021	0.00	0.00	846.44	Expiration
CALL RIOT 12/31/21	35						
RIOT BLOCKCHAIN INC   CUSIP:   Symbol(Box 1a): RIOT211231C00035000							
12/29/2021	15.00	389.36	12/15/2021	0.00	0.00	389.36	Buy to Close
CALL KBAL 09/17/21	12.50						
KIMBALL INTERNATIONAL INC   CUSIP:   Symbol(Box 1a): KBAL210917C00012500							
08/24/2021	10.00	399.66	02/23/2021	2,000.36	0.00	-1,600.70	Sell to Close

\* This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported. Taxpayers are reminded that they are ultimately responsible for the accuracy of their tax returns.

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

(continued)

02/10/2022

OMB No. 1545-0715

## SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

Report on Form 8949, Part I with Box A checked.

Box 2: Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)

Box 5: Box Not Checked (Covered Security)

Box 6: Gross (unless indicated as Net in Additional Notes Column)

Box 12: Basis Reported to the IRS

The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS but may be helpful to complete your return.

## Description of property | CUSIP | Symbol(Box 1a)

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
PUT TSLA 04/30/21	650	TESLA INC   CUSIP:   Symbol(Box 1a): TSLA210430P00650000					
04/30/2021	2.00	1,267.85	04/21/2021	0.00	0.00	1,267.85	Buy to Close
PUT TRLY 03/19/21	25	TILRAY INC   CUSIP:   Symbol(Box 1a): TRLY210319P00025000					
	1.00	415.95	03/19/2021	0.00	0.00	415.95	Expiration
PUT UBER 12/03/21	45	UBER TECHNOLOGIES INC   CUSIP:   Symbol(Box 1a): UBER211203P00045000					
12/03/2021	2.00	-1,606.09	11/16/2021	0.00	0.00	-1,606.09	Buy to Close
CALL TRLY 06/18/21	25	TILRAY INC   CUSIP:   Symbol(Box 1a): TRLY210618C00025000					
06/10/2021	4.00	571.71	06/09/2021	0.00	0.00	571.71	Buy to Close
CALL ROKU 10/01/21	370	ROKU INC   CUSIP:   Symbol(Box 1a): ROKU211001C00370000					
	2.00	267.93	10/01/2021	0.00	0.00	267.93	Expiration
PUT TSLA 06/04/21	585	TESLA INC   CUSIP:   Symbol(Box 1a): TSLA210604P00585000					
06/04/2021	1.00	534.93	05/27/2021	0.00	0.00	534.93	Buy to Close
CALL NIO 12/03/21	45	NIO INC ADS   CUSIP:   Symbol(Box 1a): NIO211203C00045000					
11/18/2021	2.00	85.90	Various	0.00	0.00	85.90	Buy to Close
PUT TSLA 12/23/21	820	TESLA INC   CUSIP:   Symbol(Box 1a): TSLA211223P00820000					
12/21/2021	1.00	430.95	12/16/2021	0.00	0.00	430.95	Buy to Close
CALL GME 11/19/21	160	GAMESTOP CORP   CUSIP:   Symbol(Box 1a): GME211119C00160000					
08/24/2021	1.00	7,599.93	08/12/2021	3,600.03	0.00	3,999.90	Sell to Close
PUT TSLA 02/19/21	800	TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol(Box 1a): TSLA210219P00800000					
02/17/2021	1.00	-2,355.61	02/08/2021	0.00	0.00	-2,355.61	Buy to Close
TESLA INC		COMMON STOCK   CUSIP: 88160R101   Symbol(Box 1a): TSLA					
02/01/2021	100.00	81,849.19	01/29/2021	79,011.61	0.00	2,837.58	Sale

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

(continued)

02/10/2022

OMB No. 1545-0715

## SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

Report on Form 8949, Part I with Box A checked.

Box 2: Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)

Box 5: Box Not Checked (Covered Security)

Box 6: Gross (unless indicated as Net in Additional Notes Column)

Box 12: Basis Reported to the IRS

The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS but may be helpful to complete your return.

## Description of property | CUSIP | Symbol(Box 1a)

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
05/28/2021	100.00	60,819.65	05/14/2021	61,863.04	0.00	-1,043.39	Sale Box 6 – Net
<b>Security Totals:</b>		<b>142,668.84</b>		<b>140,874.65</b>		<b>1,794.19</b>	
CALL ROKU 10/22/21 355 ROKU INC   CUSIP:   Symbol(Box 1a): ROKU211022C00355000							
10/22/2021	2.00	487.91	10/14/2021	0.00	0.00	487.91	Buy to Close
CALL RIOT 12/31/21 39 RIOT BLOCKCHAIN INC   CUSIP:   Symbol(Box 1a): RIOT211231C00039000							
12/28/2021	15.00	359.35	12/13/2021	0.00	0.00	359.35	Buy to Close
ASCENT SOLAR TECHNOLOGIES INC COMMON STOCK   CUSIP: 043635507   Symbol(Box 1a): ASTI							
08/26/2021	20,000.00	331.99	Various	951.85	0.00	-619.86	Sale
PUT TSLA 03/26/21 560 TESLA INC   CUSIP:   Symbol(Box 1a): TSLA210326P00560000							
03/26/2021	1.00	502.91	03/19/2021	0.00	0.00	502.91	Buy to Close
PUT TSLA 12/10/21 820 TESLA INC   CUSIP:   Symbol(Box 1a): TSLA211210P00820000							
12/06/2021	1.00	398.95	12/03/2021	0.00	0.00	398.95	Buy to Close
CALL FUBO 02/19/21 40 FUBOTV INC   CUSIP:   Symbol(Box 1a): FUBO210219C00040000							
02/19/2021	1.00	56.41	01/19/2021	0.00	0.00	56.41	Buy to Close
COINBASE GLOBAL INC CLASS A COMMON STOCK   CUSIP: 19260Q107   Symbol(Box 1a): COIN							
11/03/2021	300.00	102,628.87	Various	92,000.08	7790.38 D	18,419.17	Sale
CALL RIOT 12/10/21 39 RIOT BLOCKCHAIN INC   CUSIP:   Symbol(Box 1a): RIOT211210C00039000							
12/06/2021	15.00	494.35	12/03/2021	0.00	0.00	494.35	Buy to Close
PUT NIO 08/06/21 43 NIO INC ADS   CUSIP:   Symbol(Box 1a): NIO210806P00043000							
08/06/2021	2.00	405.87	07/23/2021	0.00	0.00	405.87	Buy to Close
ARK ETF TRUST ARK FINTECH INNOVATION ETF   CUSIP: 00214Q708   Symbol(Box 1a): ARKF							
08/26/2021	100.00	5,276.97	02/18/2021	6,140.00	0.00	-863.03	Sale

\* This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported. Taxpayers are reminded that they are ultimately responsible for the accuracy of their tax returns.

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

(continued)

02/10/2022

OMB No. 1545-0715

## SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

Report on Form 8949, Part I with Box A checked.

Box 2: Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)

Box 5: Box Not Checked (Covered Security)

Box 6: Gross (unless indicated as Net in Additional Notes Column)

Box 12: Basis Reported to the IRS

The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS but may be helpful to complete your return.

## Description of property | CUSIP | Symbol(Box 1a)

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
Description of property   CUSIP   Symbol(Box 1a): TSLA210514P00625000							
PUT TSLA 05/14/21	625	TESLA INC					
05/14/2021	1.00	-3,321.07	05/07/2021	0.00	0.00	-3,321.07	Buy to Close
Description of property   CUSIP   Symbol(Box 1a): TSLA210827C00675000							
CALL TSLA 08/27/21	675	TESLA INC					
08/27/2021	1.00	-2,633.07	08/17/2021	0.00	0.00	-2,633.07	Buy to Close
Description of property   CUSIP   Symbol(Box 1a): TSLA210820P00685000							
PUT TSLA 08/20/21	685	TESLA INC					
08/20/2021	1.00	-321.07	08/13/2021	0.00	0.00	-321.07	Buy to Close
Description of property   CUSIP: 126650100   Symbol(Box 1a): CVS							
CVS HEALTH CORPORATION							
08/23/2021	40.00	3,400.60	Various	2,620.59	0.00	780.01	Sale
Description of property   CUSIP:   Symbol(Box 1a): TSLA210528P00612500							
PUT TSLA 05/28/21	612.50	TESLA INC					
05/20/2021	1.00	474.91	05/18/2021	0.00	0.00	474.91	Buy to Close
Description of property   CUSIP:   Symbol(Box 1a): TSLA211022P00650000							
PUT TSLA 10/22/21	650	TESLA INC					
10/22/2021	1.00	498.95	10/11/2021	0.00	0.00	498.95	Buy to Close
Description of property   CUSIP:   Symbol(Box 1a): FUBO210528C00031000							
CALL FUBO 05/28/21	31	FUBOTV INC					
05/05/2021	2.00	143.85	04/26/2021	0.00	0.00	143.85	Buy to Close
Description of property   CUSIP:   Symbol(Box 1a): TSLA210924P00700000							
PUT TSLA 09/24/21	700	TESLA INC					
09/22/2021	2.00	857.87	09/16/2021	0.00	0.00	857.87	Buy to Close
Description of property   CUSIP:   Symbol(Box 1a): FUBO210319C00050000							
CALL FUBO 03/19/21	50	FUBOTV INC					
03/04/2021	1.00	264.91	03/02/2021	0.00	0.00	264.91	Buy to Close
Description of property   CUSIP:   Symbol(Box 1a): TRLY210521C00023000							
CALL TRLY 05/21/21	23	TILRAY INC					
05/05/2021	3.00	230.79	04/28/2021	0.00	0.00	230.79	Buy to Close
Description of property   CUSIP:   Symbol(Box 1a): UBER211119P00043000							
PUT UBER 11/19/21	43	UBER TECHNOLOGIES INC					
11/16/2021	2.00	269.91	11/11/2021	0.00	0.00	269.91	Buy to Close

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

(continued)

02/10/2022

OMB No. 1545-0715

## SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

Report on Form 8949, Part I with Box A checked.

Box 2: Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)

Box 5: Box Not Checked (Covered Security)

Box 6: Gross (unless indicated as Net in Additional Notes Column)

Box 12: Basis Reported to the IRS

The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS but may be helpful to complete your return.

## Description of property | CUSIP | Symbol(Box 1a)

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
PUT TSLA 07/09/21	612.50	TESLA INC   CUSIP:   Symbol(Box 1a): TSLA210709P00612500					
07/09/2021	3.00	982.78	Various	0.00	0.00	982.78	Buy to Close
CALL FUBO 03/19/21	45	FUBOTV INC   CUSIP:   Symbol(Box 1a): FUBO210319C00045000					
02/23/2021	1.00	375.90	02/19/2021	0.00	0.00	375.90	Buy to Close
PUT TSLA 12/17/21	800	TESLA INC   CUSIP:   Symbol(Box 1a): TSLA211217P00800000					
12/10/2021	2.00	967.90	Various	0.00	0.00	967.90	Buy to Close
PUT TSLA 03/05/21	600	TESLA INC   CUSIP:   Symbol(Box 1a): TSLA210305P00600000					
03/05/2021	2.00	-4,300.18	Various	0.00	0.00	-4,300.18	Buy to Close
PUT TSLA 08/20/21	675	TESLA INC   CUSIP:   Symbol(Box 1a): TSLA210820P00675000					
08/20/2021	1.00	63.92	08/13/2021	0.00	0.00	63.92	Buy to Close
PUT TSLA 04/16/21	710	TESLA INC   CUSIP:   Symbol(Box 1a): TSLA210416P00710000					
02/25/2021	1.00	8,813.91	02/25/2021	7,395.04	0.00	1,418.87	Sell to Close
CALL VEDL 03/19/21	7.50	VEDANTA LIMITED ADS   CUSIP:   Symbol(Box 1a): VEDL210319C00007500					
02/19/2021	3.00	1,025.86	12/21/2020	241.61	0.00	784.25	Sell to Close
INVESCO EXCHANGE TRADED FD TR II INVESCO SOLAR ETF   CUSIP: 46138G706   Symbol(Box 1a): TAN							
12/06/2021	100.00	8,288.30	02/19/2021	10,580.57	0.00	-2,292.27	Sale
CALL TRLY 04/16/21	34	TILRAY INC   CUSIP:   Symbol(Box 1a): TRLY210416C00034000					
03/25/2021	1.00	430.91	03/15/2021	0.00	0.00	430.91	Buy to Close
PUT ROKU 11/19/21	280	ROKU INC   CUSIP:   Symbol(Box 1a): ROKU211119P00280000					
11/16/2021	1.00	220.95	11/10/2021	0.00	0.00	220.95	Buy to Close
PUT COIN 11/12/21	325	COINBASE GLOBAL INC   CUSIP:   Symbol(Box 1a): COIN211112P00325000					
11/10/2021	3.00	2,408.86	11/03/2021	0.00	0.00	2,408.86	Buy to Close
PUT TSLA 07/30/21	565	TESLA INC   CUSIP:   Symbol(Box 1a): TSLA210730P00565000					
	2.00	917.93	07/30/2021	0.00	0.00	917.93	Expiration

\* This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported. Taxpayers are reminded that they are ultimately responsible for the accuracy of their tax returns.

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

(continued)

02/10/2022

OMB No. 1545-0715

## SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

Report on Form 8949, Part I with Box A checked.

Box 2: Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)

Box 5: Box Not Checked (Covered Security)

Box 6: Gross (unless indicated as Net in Additional Notes Column)

Box 12: Basis Reported to the IRS

The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS but may be helpful to complete your return.

## Description of property | CUSIP | Symbol(Box 1a)

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
Description of property   CUSIP   Symbol(Box 1a): NIO210723P00045000							
07/23/2021	2.00	111.86	07/09/2021	0.00	0.00	111.86	Buy to Close
Description of property   CUSIP   Symbol(Box 1a): TSLA210423P00670000							
04/21/2021	2.00	923.85	04/14/2021	0.00	0.00	923.85	Buy to Close
Description of property   CUSIP: 86686Y105   Symbol(Box 1a): SNPW							
08/26/2021	15,000.00	227.99	Various	2,241.95	0.00	-2,013.96	Sale
Description of property   CUSIP:   Symbol(Box 1a): ROKU211105C00360000							
11/05/2021	2.00	549.91	10/29/2021	0.00	0.00	549.91	Buy to Close
Description of property   CUSIP: 70614W100   Symbol(Box 1a): PTON							
01/15/2021	100.00	14,874.12	09/04/2020	7,500.00	0.00	7,374.12	Sale Box 6 – Net
Description of property   CUSIP:   Symbol(Box 1a): TSLA211029P00800000							
10/27/2021	2.00	566.91	10/22/2021	0.00	0.00	566.91	Buy to Close
Description of property   CUSIP:   Symbol(Box 1a): TSLA211029P00795000							
10/22/2021	1.00	14.95	10/22/2021	0.00	0.00	14.95	Buy to Close
Description of property   CUSIP:   Symbol(Box 1a): TSLA210827P00640000							
08/27/2021	2.00	1,009.86	08/20/2021	0.00	0.00	1,009.86	Buy to Close
Description of property   CUSIP:   Symbol(Box 1a): TSLA211001P00710000							
09/30/2021	2.00	1,487.87	09/21/2021	0.00	0.00	1,487.87	Buy to Close
Description of property   CUSIP:   Symbol(Box 1a): RIOT211231C00034000							
12/30/2021	15.00	404.35	12/17/2021	0.00	0.00	404.35	Buy to Close
Description of property   CUSIP:   Symbol(Box 1a): FUBO210903P00026000							
09/03/2021	2.00	181.87	08/13/2021	0.00	0.00	181.87	Buy to Close

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

(continued)

02/10/2022

OMB No. 1545-0715

## SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

Report on Form 8949, Part I with Box A checked.

Box 2: Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)

Box 5: Box Not Checked (Covered Security)

Box 6: Gross (unless indicated as Net in Additional Notes Column)

Box 12: Basis Reported to the IRS

The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS but may be helpful to complete your return.

## Description of property | CUSIP | Symbol(Box 1a)

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CALL TLRV 04/16/21 27	TILRAY INC   CUSIP:   Symbol(Box 1a): TLRV210416C00027000	2.00	213.90	Various	0.00	213.90	Expiration
PUT NIO 07/09/21 45	NIO INC ADS   CUSIP:   Symbol(Box 1a): NIO210709P00045000						
07/01/2021	1.00	244.93	06/22/2021	0.00	0.00	244.93	Buy to Close
PUT TSLA 04/01/21 685	TESLA INC   CUSIP:   Symbol(Box 1a): TSLA210401P00685000						
03/05/2021	1.00	13,634.89	02/25/2021	6,635.04	0.00	6,999.85	Sell to Close
PUT TSLA 03/12/21 580	TESLA INC   CUSIP:   Symbol(Box 1a): TSLA210312P00580000						
	1.00	499.95	03/12/2021	0.00	0.00	499.95	Expiration
PUT FUBO 08/13/21 26	FUBOTV INC   CUSIP:   Symbol(Box 1a): FUBO210813P00026000						
08/13/2021	2.00	445.86	07/30/2021	0.00	0.00	445.86	Buy to Close
PUT ARKW 01/15/21 148.11	ARK NEXT GENERATION INTRNT ETF ADJ CASH DISTRIBUTION   CUSIP:   Symbol(Box 1a): ARKW210115P00148110						
01/08/2021	1.00	483.90	12/21/2020	0.00	0.00	483.90	Buy to Close
PUT TSLA 02/05/21 765	TESLA INC   CUSIP:   Symbol(Box 1a): TSLA210205P00765000						
02/05/2021	1.00	998.39	01/29/2021	0.00	0.00	998.39	Buy to Close
PUT TSLA 04/01/21 550	TESLA INC   CUSIP:   Symbol(Box 1a): TSLA210401P00550000						
03/31/2021	2.00	982.82	Various	0.00	0.00	982.82	Buy to Close
PUT TSLA 07/02/21 630	TESLA INC   CUSIP:   Symbol(Box 1a): TSLA210702P00630000						
07/02/2021	1.00	542.93	06/25/2021	0.00	0.00	542.93	Buy to Close
PUT TSLA 06/25/21 575	TESLA INC   CUSIP:   Symbol(Box 1a): TSLA210625P00575000						
06/25/2021	1.00	497.93	06/18/2021	0.00	0.00	497.93	Buy to Close
PUT ROKU 11/12/21 285	ROKU INC   CUSIP:   Symbol(Box 1a): ROKU211112P00285000						
11/10/2021	1.00	-12.05	11/05/2021	0.00	0.00	-12.05	Buy to Close

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

(continued)

02/10/2022

OMB No. 1545-0715

## SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

Report on Form 8949, Part I with Box A checked.

Box 2: Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)

Box 5: Box Not Checked (Covered Security)

Box 6: Gross (unless indicated as Net in Additional Notes Column)

Box 12: Basis Reported to the IRS

The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS but may be helpful to complete your return.

## Description of property | CUSIP | Symbol(Box 1a)

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
PUT ARKG 02/19/21	105 21						ARK GENOMIC REVOLUTION ETF ADJ CASH DISTRIBUTION   CUSIP:   Symbol(Box 1a): ARKG210219P00105210
02/10/2021	1.00	655.90	01/13/2021	0.00	0.00	655.90	Buy to Close
CALL COIN 11/19/21	310						COINBASE GLOBAL INC   CUSIP:   Symbol(Box 1a): COIN211119C00310000
11/18/2021	3.00	24.84	11/10/2021	0.00	0.00	24.84	Buy to Close
CALL COIN 11/12/21	305						COINBASE GLOBAL INC   CUSIP:   Symbol(Box 1a): COIN211112C00305000
11/10/2021	3.00	4,174.82	11/04/2021	0.00	0.00	4,174.82	Buy to Close
PUT COIN 10/08/21	215						COINBASE GLOBAL INC   CUSIP:   Symbol(Box 1a): COIN211008P00215000
10/05/2021	1.00	224.94	09/27/2021	0.00	0.00	224.94	Buy to Close
PUT TSLA 08/27/21	620						TESLA INC   CUSIP:   Symbol(Box 1a): TSLA210827P00620000
08/26/2021	1.00	382.93	08/20/2021	0.00	0.00	382.93	Buy to Close
PUT TSLA 02/26/21	750						TESLA INC   CUSIP:   Symbol(Box 1a): TSLA210226P00750000
02/22/2021	1.00	-2,970.10	02/19/2021	0.00	0.00	-2,970.10	Buy to Close
PUT ROKU 11/05/21	290						ROKU INC   CUSIP:   Symbol(Box 1a): ROKU211105P00290000
11/05/2021	1.00	-408.05	10/29/2021	0.00	0.00	-408.05	Buy to Close
CALL RIOT 09/10/21	48						RIOT BLOCKCHAIN INC   CUSIP:   Symbol(Box 1a): RIOT210910C00048000
09/03/2021	3.00	203.79	08/20/2021	0.00	0.00	203.79	Buy to Close
PUT TSLA 06/04/21	565						TESLA INC   CUSIP:   Symbol(Box 1a): TSLA210604P00565000
06/02/2021	1.00	147.96	05/17/2021	3,000.03	0.00	-2,852.07	Sell to Close
GAMESTOP CORP							CLASS A   CUSIP: 36467W109   Symbol(Box 1a): GME
01/29/2021	100.00	33,999.24	01/29/2021	32,000.00	0.00	1,999.24	Sale
01/29/2021	100.00	32,599.27	01/29/2021	32,777.96	0.00	-178.69	Sale
<b>Security Totals:</b>		<b>66,598.51</b>		<b>64,777.96</b>		<b>1,820.55</b>	

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

(continued)

02/10/2022

OMB No. 1545-0715

## SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

Report on Form 8949, Part I with Box A checked.

Box 2: Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)

Box 5: Box Not Checked (Covered Security)

Box 6: Gross (unless indicated as Net in Additional Notes Column)

Box 12: Basis Reported to the IRS

The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS but may be helpful to complete your return.

## Description of property | CUSIP | Symbol(Box 1a)

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CALL SNAP 01/22/21 55 SNAP INC   CUSIP:   Symbol(Box 1a): SNAP210122C00055000							
01/22/2021	5.00	0.00	01/21/2021	357.68	0.00	-357.68	Expiration
PUT TSLA 08/27/21 660 TESLA INC   CUSIP:   Symbol(Box 1a): TSLA210827P00660000							
08/27/2021	1.00	1,015.93	08/20/2021	0.00	0.00	1,015.93	Buy to Close
CALL ROKU 08/27/21 370 ROKU INC   CUSIP:   Symbol(Box 1a): ROKU210827C00370000							
08/27/2021	1.00	692.93	08/17/2021	0.00	0.00	692.93	Buy to Close
PUT RIOT 08/13/21 30 RIOT BLOCKCHAIN INC   CUSIP:   Symbol(Box 1a): RIOT210813P00030000							
	2.00	307.91	08/13/2021	0.00	0.00	307.91	Expiration
ORION OFFICE REIT INC COMMON STOCK   CUSIP: 68629Y103   Symbol(Box 1a): ONL							
11/16/2021	10.00	214.10	11/15/2021	223.18	0.00	-9.08	Sale
CALL COIN 12/03/21 335 COINBASE GLOBAL INC   CUSIP:   Symbol(Box 1a): COIN211203C00335000							
12/02/2021	3.00	1,040.87	11/24/2021	0.00	0.00	1,040.87	Buy to Close
PUT ROKU 10/29/21 307.50 ROKU INC   CUSIP:   Symbol(Box 1a): ROKU211029P00307500							
10/29/2021	1.00	243.95	10/22/2021	0.00	0.00	243.95	Buy to Close
CALL RIOT 09/17/21 48 RIOT BLOCKCHAIN INC   CUSIP:   Symbol(Box 1a): RIOT210917C00048000							
09/10/2021	3.00	167.79	08/30/2021	0.00	0.00	167.79	Buy to Close
PUT TSLA 06/18/21 550 TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP:   Symbol(Box 1a): TSLA210618P00550000							
	1.00	504.96	06/18/2021	0.00	0.00	504.96	Expiration
CALL COIN 11/26/21 345 COINBASE GLOBAL INC   CUSIP:   Symbol(Box 1a): COIN211126C00345000							
11/24/2021	3.00	1,367.87	11/18/2021	0.00	0.00	1,367.87	Buy to Close
PUT COIN 11/26/21 340 COINBASE GLOBAL INC   CUSIP:   Symbol(Box 1a): COIN211126P00340000							
11/18/2021	3.00	-2,501.14	11/17/2021	0.00	0.00	-2,501.14	Buy to Close

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

(continued)

02/10/2022

OMB No. 1545-0715

## SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS

Report on Form 8949, Part I with Box A checked.

Box 2: Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)

Box 5: Box Not Checked (Covered Security)

Box 6: Gross (unless indicated as Net in Additional Notes Column)

Box 12: Basis Reported to the IRS

The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS but may be helpful to complete your return.

## Description of property | CUSIP | Symbol(Box 1a)

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
Description of property   CUSIP   Symbol(Box 1a): RIOT BLOCKCHAIN INC   CUSIP:   Symbol(Box 1a): RIOT210827P00029000							
08/27/2021	2.00	119.84	08/13/2021	0.00	0.00	119.84	Buy to Close
Description of property   CUSIP   Symbol(Box 1a): TESLA INC   CUSIP:   Symbol(Box 1a): TSLA210319C00710000							
02/24/2021	1.00	6,199.92	02/23/2021	4,620.04	0.00	1,579.88	Sell to Close
Description of property   CUSIP   Symbol(Box 1a): TESLA INC   CUSIP:   Symbol(Box 1a): TSLA210226P00725000							
02/22/2021	1.00	-2,375.10	02/19/2021	0.00	0.00	-2,375.10	Buy to Close
Description of property   CUSIP   Symbol(Box 1a): TESLA INC   CUSIP:   Symbol(Box 1a): TSLA210319P00750000							
02/25/2021	1.00	6,199.92	02/22/2021	4,566.04	0.00	1,633.88	Sell to Close
Description of property   CUSIP   Symbol(Box 1a): TESLA INC   CUSIP:   Symbol(Box 1a): TSLA210625P00580000							
	1.00	999.96	06/25/2021	0.00	0.00	999.96	Expiration
Description of property   CUSIP   Symbol(Box 1a): UBER TECHNOLOGIES INC   CUSIP:   Symbol(Box 1a): UBER210115P00055000							
01/12/2021	1.00	513.90	12/17/2020	0.00	0.00	513.90	Buy to Close
Description of property   CUSIP   Symbol(Box 1a): PAYPAL HOLDINGS INC COM   CUSIP: 70450Y103   Symbol(Box 1a): PYPL							
08/30/2021	20.00	5,757.99	Various	4,800.00	0.00	957.99	Sale
Description of property   CUSIP   Symbol(Box 1a): TESLA INC   CUSIP:   Symbol(Box 1a): TSLA210716P00605000							
07/15/2021	2.00	969.86	07/09/2021	0.00	0.00	969.86	Buy to Close
Description of property   CUSIP   Symbol(Box 1a): TESLA INC   CUSIP:   Symbol(Box 1a): TSLA211231P00800000							
12/23/2021	1.00	469.95	12/21/2021	0.00	0.00	469.95	Buy to Close
Description of property   CUSIP   Symbol(Box 1a): ARK INNOVATION ETF   CUSIP:   Symbol(Box 1a): ARKK210521P00120000							
05/19/2021	1.00	-885.08	03/31/2021	0.00	0.00	-885.08	Buy to Close
Description of property   CUSIP   Symbol(Box 1a): NIO INC ADS   CUSIP:   Symbol(Box 1a): NIO211119C00045000							
11/16/2021	2.00	299.91	11/04/2021	0.00	0.00	299.91	Buy to Close

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

(continued)

02/10/2022

OMB No. 1545-0715

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS**

Report on Form 8949, Part I with Box A checked.

**Box 2:** Type of Gain or Loss - Short-Term (unless indicated as Ordinary in Additional Notes Column)**Box 5:** Box Not Checked (Covered Security)**Box 6:** Gross (unless indicated as Net in Additional Notes Column)**Box 12:** Basis Reported to the IRS**The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS but may be helpful to complete your return.**

## Description of property | CUSIP | Symbol(Box 1a)

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
INSPYR THERAPEUTICS INC COMMON STOCK   CUSIP: 45782A403   Symbol(Box 1a): NSPX							
08/26/2021	50,000.00	157.24	02/09/2021	1,846.95	0.00	-1,689.71	Sale
<b>Totals:</b>		<b>546,881.61</b>		<b>479,187.25</b>		<b>75,484.74</b>	

APEX CLEARING

## Proceeds from Broker and Barter Exchange Transactions

2021 Form 1099-B\*

(continued)

02/10/2022

OMB No. 1545-0715

## LONG TERM TRANSACTIONS FOR COVERED TAX LOTS

Report on Form 8949, Part II with Box D checked.

Box 2: Type of Gain or Loss - Long-Term (unless indicated as Ordinary in Additional Notes Column)

Box 5: Box Not Checked (Covered Security)

Box 6: Gross (unless indicated as Net in Additional Notes Column)

Box 12: Basis Reported to the IRS

The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS but may be helpful to complete your return.

## Description of property | CUSIP | Symbol(Box 1a)

Date Sold or Disposed (Box 1c)	Quantity	Proceeds (Box 1d)	Date Acquired (Box 1b)	Cost or Other Basis (Box 1e)	Accrued Market Discount (M)(Box 1f) & Wash Sale Loss Disallowed (D)(Box 1g)	Gain or Loss(-)	Additional Notes
CVS HEALTH CORPORATION   CUSIP: 126650100   Symbol(Box 1a): CVS							
08/23/2021	60.00	5,100.90	Various	4,472.86	0.00	628.04	Sale
***TORONTO-DOMINION BANK   CUSIP: 891160509   Symbol(Box 1a): TD							
08/23/2021	100.00	6,809.27	Various	4,902.93	0.00	1,906.34	Sale
SPDR DOW JONES INDL AVERAGE ETF TR UNIT SER 1   CUSIP: 78467X109   Symbol(Box 1a): DIA							
08/23/2021	10.00	3,531.80	03/16/2020	2,041.50	0.00	1,490.30	Sale
OMEGA HEALTHCARE INVESTORS INC   CUSIP: 681936100   Symbol(Box 1a): OHI							
08/23/2021	100.00	3,270.18	06/04/2018	2,836.09	0.00	434.09	Sale
ROKU INC CLASS A COMMON STOCK   CUSIP: 77543R102   Symbol(Box 1a): ROKU							
08/13/2021	20.00	7,299.95	02/12/2020	2,761.60	0.00	4,538.35	Sale
INVESCO QQQ TR UNIT SER 1   CUSIP: 46090E103   Symbol(Box 1a): QQQ							
08/23/2021	10.00	3,732.01	07/23/2020	2,610.00	0.00	1,122.01	Sale
VERIZON COMMUNICATIONS   CUSIP: 92343V104   Symbol(Box 1a): VZ							
08/23/2021	70.00	3,890.10	Various	3,372.93	0.00	517.17	Sale
ARCHER-DANIELS-MIDLAND CO   CUSIP: 039483102   Symbol(Box 1a): ADM							
08/23/2021	100.00	5,939.16	04/15/2020	3,567.00	0.00	2,372.16	Sale
<b>Totals:</b>		<b>39,573.37</b>		<b>26,564.91</b>		<b>13,008.46</b>	

APEX CLEARING

## Dividends and Distributions - Details of Form 1099-DIV

2021

02/10/2022

This section of the information statement provides payment-level details for dividend-related distributions reported in aggregate on Form 1099-DIV. The information provided below is for your reference only. The break-out details provide payment-level information (including payment date and issuer) for different categories of distributions reported on Form 1099-DIV: ordinary dividends, including portions classified as qualified dividends and section 199A dividends, non-dividend distributions, exempt-interest dividends, and liquidation distributions.

Taxes withheld for federal, state, or foreign tax purposes are shown as negative numbers but do not offset the income amounts.

For dividends classified as "qualified dividends," the classification is made only from the issuer perspective without accounting for your holding period. Under IRS rules, classification as a qualified dividend for a taxpayer also depends on the taxpayer's holding period in the relevant stock, and a taxpayer is responsible for confirming such qualification based on the taxpayer's actual holding period. Taxpayers are reminded that they are ultimately responsible for the accuracy of their own tax returns.

Description   CUSIP   Symbol	Total Ordinary Dividends (Box 1a)	Qualified Dividends (Box 1b)	Nondividend Distributions (Box 3)	Section 199A Dividends (Box 5)	Investment Expenses (Box 6)	Foreign Tax Paid (Box 7)	Foreign Country or US Possession (Box 8)
GLOBAL X FDS GLOBAL X NASDAQ 100 COVERED CALL ETF   CUSIP: 37954Y483   Symbol: QYLD							
12/01/2021	22.46	0.00	0.00	0.00	0.00	0.00	
01/07/2022	49.94	0.00	0.00	0.00	0.00	0.00	
<b>Security Totals:</b>	<b>72.40</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	
ABBVIE INC   CUSIP: 00287Y109   Symbol: ABBV							
02/16/2021	52.00	52.00	0.00	0.00	0.00	0.00	
05/14/2021	52.00	52.00	0.00	0.00	0.00	0.00	
08/16/2021	52.00	52.00	0.00	0.00	0.00	0.00	
11/15/2021	130.00	130.00	0.00	0.00	0.00	0.00	
<b>Security Totals:</b>	<b>286.00</b>	<b>286.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	
VANGUARD INDEX FUNDS VANGUARD HIGH DIVIDEND YIELD ETF   CUSIP: 921946406   Symbol: VYM							
03/25/2021	65.64	65.64	0.00	0.00	0.00	0.00	
06/24/2021	75.23	75.23	0.00	0.00	0.00	0.00	
09/23/2021	74.88	74.88	0.00	0.00	0.00	0.00	
12/23/2021	93.86	93.86	0.00	0.00	0.00	0.00	
<b>Security Totals:</b>	<b>309.61</b>	<b>309.61</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	
VANGUARD S&P 500 ETF   CUSIP: 922908363   Symbol: VOO							
03/31/2021	12.63	12.25	0.00	0.38	0.00	0.00	
07/02/2021	13.33	12.93	0.00	0.40	0.00	0.00	
10/04/2021	13.08	12.68	0.00	0.40	0.00	0.00	
12/27/2021	15.33	14.87	0.00	0.46	0.00	0.00	
<b>Security Totals:</b>	<b>54.37</b>	<b>52.73</b>	<b>0.00</b>	<b>1.64</b>	<b>0.00</b>	<b>0.00</b>	
AT&T INC   CUSIP: 00206R102   Symbol: T							
11/01/2021	104.00	104.00	0.00	0.00	0.00	0.00	
SPDR DOW JONES INDL AVERAGE ETF TR UNIT SER 1   CUSIP: 78467X109   Symbol: DIA							
02/16/2021	1.27	1.27	0.00	0.00	0.00	0.00	
03/15/2021	6.01	6.01	0.00	0.00	0.00	0.00	
07/12/2021	4.93	4.93	0.00	0.00	0.00	0.00	

APEX CLEARING

## Dividends and Distributions - Details of Form 1099-DIV

2021

(continued)

02/10/2022

Description   CUSIP   Symbol	Total Ordinary Dividends (Box 1a)	Qualified Dividends (Box 1b)	Nondividend Distributions (Box 3)	Section 199A Dividends (Box 5)	Investment Expenses (Box 6)	Foreign Tax Paid (Box 7)	Foreign Country or US Possession (Box 8)
Date							
SPDR DOW JONES INDL AVERAGE ETF TR UNIT SER 1   CUSIP: 78467X109   Symbol: DIA							
08/16/2021	2.07	2.07	0.00	0.00	0.00	0.00	
<b>Security Totals:</b>	<b>14.28</b>	<b>14.28</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	
REALTY INCOME CORP   CUSIP: 756109104   Symbol: O							
09/15/2021	7.29	0.00	15.85	7.29	0.00	0.00	
10/15/2021	7.31	0.00	15.88	7.31	0.00	0.00	
11/15/2021	76.40	0.00	166.07	76.40	0.00	0.00	
12/15/2021	7.62	0.00	16.55	7.62	0.00	0.00	
<b>Security Totals:</b>	<b>98.62</b>	<b>0.00</b>	<b>214.35</b>	<b>98.62</b>	<b>0.00</b>	<b>0.00</b>	
APPLE INC   CUSIP: 037833100   Symbol: AAPL							
11/11/2021	22.00	22.00	0.00	0.00	0.00	0.00	
INVESCO QQQ TR UNIT SER 1   CUSIP: 46090E103   Symbol: QQQ							
04/30/2021	3.95	3.95	0.00	0.00	0.00	0.00	
07/30/2021	3.97	3.97	0.00	0.00	0.00	0.00	
<b>Security Totals:</b>	<b>7.92</b>	<b>7.92</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	
EXXON MOBIL CORP   CUSIP: 30231G102   Symbol: XOM							
09/10/2021	87.00	87.00	0.00	0.00	0.00	0.00	
EVERCORE INC CLASS A COMMON STOCK   CUSIP: 29977A105   Symbol: EVR							
09/10/2021	68.00	68.00	0.00	0.00	0.00	0.00	
12/10/2021	68.00	68.00	0.00	0.00	0.00	0.00	
<b>Security Totals:</b>	<b>136.00</b>	<b>136.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	
ARCHER-DANIELS-MIDLAND CO   CUSIP: 039483102   Symbol: ADM							
09/08/2021	37.00	37.00	0.00	0.00	0.00	0.00	
SCHWAB STRATEGIC TR US DIVIDEND EQUITY ETF   CUSIP: 808524797   Symbol: SCHD							
09/27/2021	58.70	58.70	0.00	0.00	0.00	0.00	
12/13/2021	61.98	61.98	0.00	0.00	0.00	0.00	
<b>Security Totals:</b>	<b>120.68</b>	<b>120.68</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	
<b>Totals:</b>	<b>1,349.88</b>	<b>1,177.22</b>	<b>214.35</b>	<b>100.26</b>	<b>0.00</b>	<b>0.00</b>	

APEX CLEARING

## Dividends and Distributions - Details of Form 1099-DIV

2021

(continued)

02/10/2022

## Capital Gains Dividends

Description   CUSIP   Symbol	Total Capital Gains Distributions (Box 2a)	Unrecaptured Section 1250 Gain (Box 2b)	Section 1202 Gain (Box 2c)	Collectibles (28%) Gain (Box 2d)
REALTY INCOME CORP   CUSIP: 756109104   Symbol: O				
09/15/2021	0.41	0.31	0.00	0.00
10/15/2021	0.41	0.31	0.00	0.00
11/15/2021	4.31	3.27	0.00	0.00
12/15/2021	0.43	0.33	0.00	0.00
<b>Security Totals:</b>	<b>5.56</b>	<b>4.22</b>	<b>0.00</b>	<b>0.00</b>
<b>Totals:</b>	<b>5.56</b>	<b>4.22</b>	<b>0.00</b>	<b>0.00</b>

APEX CLEARING

## Interest Income - Details of Form 1099-INT

2021

02/10/2022

This section of the information statement provides the payment-level details for interest that is reported in aggregate on Form 1099-INT. Market discount is provided only if you have made an election to recognize market discount on a current basis. Any such market discount and bond premium are reported on Form 1099-INT for covered lots, as detailed below. For noncovered lots, bond premium and market discount are shown below only for your information and are not reported on Form 1099-INT.

## Interest Income

## Description | CUSIP | Symbol

Date	Interest Income (Box 1)	Investment Expenses (Box 5)	Foreign Tax Paid (Box 6)	Foreign Country or US Possession (Box 7)	Market Discount (Box 10)	Market Discount (NOT reported to IRS)	Bond Premium (Box 11)	Bond Premium (NOT reported to IRS)
FULLYPAID LENDING REBATE   CUSIP:   Symbol:								
03/10/2021	0.46	0.00	0.00		0.00	0.00	0.00	0.00
04/13/2021	4.37	0.00	0.00		0.00	0.00	0.00	0.00
05/13/2021	2.17	0.00	0.00		0.00	0.00	0.00	0.00
06/11/2021	14.36	0.00	0.00		0.00	0.00	0.00	0.00
07/13/2021	18.56	0.00	0.00		0.00	0.00	0.00	0.00
08/11/2021	7.96	0.00	0.00		0.00	0.00	0.00	0.00
09/15/2021	10.43	0.00	0.00		0.00	0.00	0.00	0.00
10/13/2021	16.03	0.00	0.00		0.00	0.00	0.00	0.00
11/09/2021	22.81	0.00	0.00		0.00	0.00	0.00	0.00
12/13/2021	18.53	0.00	0.00		0.00	0.00	0.00	0.00
<b>Security Totals:</b>	<b>115.68</b>	<b>0.00</b>	<b>0.00</b>		<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
<b>Totals:</b>	<b>115.68</b>	<b>0.00</b>	<b>0.00</b>		<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>

APEX CLEARING

## Miscellaneous Information - Details of Form 1099-MISC

2021

02/10/2022

This section of the information statement provides payment-level details for royalty distributions and substitute payments in lieu of dividends and interest that are reported in aggregate on Form 1099-MISC. Links to tax information booklets for royalty trusts relevant to your account, if any, are provided at the end of this information statement.

## Description | CUSIP | Symbol

Date	Royalties(Box 2)	Other Income(Box 3)	Substitute Payments in Lieu of
			Dividends or Interest (Box 8)
SPDR DOW JONES INDL AVERAGE ETF TR UNIT SER 1   CUSIP: 78467X109   Symbol: DIA			
04/12/2021	0.00	0.00	6.71
05/17/2021	0.00	0.00	1.12
06/14/2021	0.00	0.00	7.03
09/13/2021	0.00	0.00	6.11
<b>Security Totals:</b>	<b>0.00</b>	<b>0.00</b>	<b>20.97</b>
ARK ETF TRUST ARK INNOVATION ETF   CUSIP: 00214Q104   Symbol: ARKK			
12/31/2021	0.00	0.00	234.74
<b>Totals:</b>	<b>0.00</b>	<b>0.00</b>	<b>255.71</b>

APEX CLEARING

## Supplemental Information

2021

02/10/2022

The supplemental information provided below contains additional details that may assist in your tax return preparation.

**Fees & Expenses**

Description	
Date	Amount
Margin Interest Expense	
01/19/2021	7.06
06/16/2021	126.40
09/16/2021	3.86
10/18/2021	209.20
11/16/2021	184.31
12/16/2021	136.74
12/31/2021	122.81
<b>Total:</b>	<b>790.38</b>
ADR Fees	
06/10/2021	4.00
<b>Totals:</b>	<b>794.38</b>

**Common Instructions for Recipient**

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

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

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

**Nominees.** If this form includes amounts belonging to another person, you are considered a nominee recipient. You must file as the "payer" the respective Form 1099 (DIV, INT, or OID) (with a Form 1096) to the IRS for each of the other owners to show their share of the income, and you must furnish the respective Copy B Form(s) to each. A spouse is not required to file a nominee return to show amounts owned by the other spouse. See the 2021 General Instructions for Certain Information Returns.

**FreeFile.** Go to [www.irs.gov/FreeFile](http://www.irs.gov/FreeFile) to see if you qualify for no-cost online federal tax preparation, e-filing, and direct deposit or payment options.

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

**Box 1a.** Shows total ordinary dividends that are taxable. Include this amount on the "Ordinary dividends" line of Form 1040 or 1040-SR. Also, report it on Schedule B (Form 1040), if required.

**Box 1b.** Shows the portion of the amount in box 1a that may be eligible for reduced capital gains rates. See the Instructions for Forms 1040 and 1040-SR for how to determine this amount and where to report.

The amount shown may be dividends a corporation paid directly to you as a participant (or beneficiary of a participant) in an employee stock ownership plan (ESOP). Report it as a dividend on your Form 1040 or 1040-SR but treat it as a plan distribution, not as investment income, for any other purpose.

**Box 2a.** Shows total capital gain distributions from a regulated investment company (RIC) or real estate investment trust (REIT). See *How To Report* in the Instructions for Schedule D (Form 1040). But, if no amount is shown in boxes 2b, 2c 2d, and 2f and your only capital gains and losses are capital gain distributions, you may be able to report the amounts shown in box 2a on your Form 1040 or 1040-SR rather than Schedule D. See the Instructions for Forms 1040 or 1040-SR.

**Box 2b.** Shows the portion of the amount in box 2a that is unrecaptured section 1250 gain from certain depreciable real property. See the Unrecaptured Section 1250 Gain Worksheet in the Instructions for Schedule D (Form 1040).

**Box 2c.** Shows the portion of the amount in box 2a that is section 1202 gain from certain small business stock that may be subject to an exclusion. See the Schedule D (Form 1040) instructions.

**Box 2d.** Shows the portion of the amount in box 2a that is 28% rate gain from sales or exchanges of collectibles. If required, use this amount when completing the 28% Rate Gain Worksheet in the Instructions for Schedule D (Form 1040).

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

**Box 2f.** Shows the portion of the amount in box 2a that is section 897 gain attributable of USRPI.

**Note:** Boxes 2e and 2f apply only to foreign persons and entities whose income maintains its character when passed through or distributed to its direct or indirect foreign owners or beneficiaries. It is generally treated as effectively connected to a trade or business within the United States.

See the instructions for your tax return.

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

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

**Box 5.** Shows the portion of the amount in box 1a that may be eligible for the 20% qualified business income deduction under section 199A. See the instructions for Form 8995 and Form 8995-A.

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

**Box 7.** Shows the foreign tax that you may be able to claim as a deduction or a credit on Form 1040 or 1040-SR. See the Instructions for Forms 1040 or 104-SR.

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

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

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

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

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

**1099-INT Instructions for Recipient**

The information provided may be different for covered and noncovered securities. For a description of covered securities, see the Instructions for Form 8949. For a taxable covered security acquired at a premium, unless you notified the payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to amortize the premium under section 171, or for a tax-exempt covered security acquired at a premium, your payer generally must report either (1) a net amount of interest that reflects the offset of the amount of interest paid to you by the amount of premium amortization allocable to the payment(s), or (2) a gross amount for both the interest paid to you and the premium amortization allocable to the payment(s). If you did notify your payer that you did not want to amortize the premium on a taxable covered security, then your payer will only report the gross amount of interest paid to you. For a noncovered security acquired at a premium, your payer is only required to report the gross amount of interest paid to you.

**Box 1.** Shows taxable interest paid to you during the calendar year by the payer. This does not include interest shown in box 3. May also show the total amount of the credits from clean renewable energy bonds, new clean renewable energy bonds, qualified energy conservation bonds, qualified zone academy bonds, qualified school construction bonds, and build America bonds that must be included in your interest income. These amounts were treated as paid to you during 2021 on the credit allowance dates (March 15, June 15, September 15, and December 15). For more information, see Form 8912. See the instructions above for a taxable covered security acquired at a premium.

**Box 2.** Shows interest or principal forfeited because of early withdrawal of time savings. You may deduct this amount to figure your adjusted gross income on your income tax return. See the Instructions for Form 1040 and 1040-SR to see where to take the deduction.

**Box 3.** Shows interest on U.S. Savings Bonds, Treasury bills, Treasury bonds, and Treasury notes. This may or may not all be taxable. See Pub. 550. This interest is exempt from state and local income taxes. This interest is not included in box 1. See the instructions above for a taxable covered security acquired at a premium.

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

**Box 5.** Any amount shown is your share of investment expenses of a single-class REMIC. This amount is included in box 1. **Note:** This amount is not deductible.

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

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

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

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

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

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

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

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

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

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

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

**1099-B Instructions for Recipient**

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

**Box 8.** Shows the profit or (loss) realized on regulated futures, foreign currency, or Section 1256 option contracts closed during 2021.

**Box 9.** Shows any year-end adjustment to the profit or (loss) shown in box 8 due to open contracts on December 31, 2020.

**Box 10.** Shows the unrealized profit or (loss) on open contracts held in your account on December 31, 2021. These are considered closed out as of that date. This will become an adjustment reported as unrealized profit or (loss) on open contracts—12/31/2021 in 2022.

**Box 11.** Boxes 8, 9, and 10 are all used to figure the aggregate profit or (loss) on regulated futures, foreign currency, or Section 1256 option contracts for the year. Include this amount on your 2021 Form 6781.

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

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

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

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

#### 1099-MISC Instructions for Recipient

**Amounts shown may be subject to self-employment (SE) tax.** Individuals should see the Instructions for Schedule SE (Form 1040). Corporations, fiduciaries, or partnerships must report the amounts on the proper line of their tax returns.

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

**Box 1.** Report rents from real estate on Schedule E (Form 1040). However, report rents on Schedule C (Form 1040) if you provided significant services to the tenant, sold real estate as a business, or rented personal property as a business. See Pub. 527.

**Box 2.** Report royalties from oil, gas, or mineral properties; copyrights, and patents on Schedule E (Form 1040). However, report payments for a working interest as explained in the Schedule E (Form 1040 or Form 1040-SR) instructions. For royalties on timber, coal, and iron ore, see Pub. 544.

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

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

**Box 5.** Shows the amount paid to a fishing boat crew member who is considered by the operator to be self-employed. Self-employed individuals must report this amount on Schedule C (Form 1040). See Pub. 334.

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

**Box 7.** If checked, consumer products totaling \$5,000 or more were sold to you for resale, on a buy-sell, a deposit-commission, or other basis. Generally, report any income from your sale of these products on Schedule C (Form 1040).

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

**Box 9.** Report this amount on Schedule F (Form 1040).

**Box 10.** Shows gross proceeds paid to an attorney in connection with legal services. Report only the taxable part as income on your return.

**Box 12.** May show current year deferrals as a nonemployee under a nonqualified deferred compensation (NQDC) plan that is subject to the requirements of section 409A, plus any earnings on current and prior year deferrals.

**Box 13.** Shows your total compensation of excess golden parachute payments subject to a 20% excise tax. See your tax return instructions for where to report.

**Box 14.** Shows income as a nonemployee under an NQDC plan that does not meet the requirements of section 409A. Any amount included in box 12 that is currently taxable is also included in this box. Report this amount as income on your tax return. This income is also subject to a substantial additional tax to be reported on Form 1040, 1040-SR, or 1040-NR. See the instructions for your tax return.

**Box 15-17.** Show state or local income tax withheld from the payments.

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

#### 1099-OID Instructions for Recipient

Original issue discount (OID) is the excess of an obligation's stated redemption price at maturity over its issue price (acquisition price for a stripped bond or coupon). OID on a taxable obligation is taxable as interest over the life of the obligation. If you are the holder of a taxable OID

obligation, generally you must include an amount of OID in your gross income each year you hold the obligation. Obligations that may have OID include a bond, debenture, note, certificate, or other evidence of indebtedness having a term of more than 1 year. For example, the OID rules may apply to certificates of deposit (CDs), time deposits, bonus savings plans, and other deposit arrangements, especially if the payment of interest is deferred until maturity. In addition, the OID rules apply to Treasury inflation-protected securities. See Pub. 550 for more information.

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

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

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

**Box 2.** Shows qualified stated interest on this obligation for the year, which is an amount separate from the OID. If you held the obligation the entire year, report this amount as interest income on your tax return. If you disposed of the obligation or acquired it from another holder during the year, see Pub. 550 for reporting instructions. If there is an amount in both boxes 2 and 8, the amount in box 2 is interest on a U.S. Treasury obligation and is exempt from state and local income taxes. If there is an amount in both boxes 2 and 11, the amount in box 2 is tax-exempt interest

and is not included in interest income on your tax return. In general, see how to report tax-exempt interest in the Instructions for Form 1040 and 1040-SR.

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

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

**Box 5.** For a covered security acquired with OID, if you made an election under section 1278(b) to include market discount in income as it accrues and you notified your payer of the election in writing in accordance with Regulations section 1.6045-1(n)(5), shows the market discount that

accrued on the debt instrument during the year while held by you. For a tax-exempt obligation that is a covered security acquired on or after January 1, 2017, and issued with OID, shows the market discount that accrued on the obligation during the year while held by you. For a covered

security acquired on or after January 1, 2015, market discount will be calculated on a constant yield basis unless you notified your payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to make a constant yield election for market discount under section 1276(b). The payer may, but is not required to, report the market discount for a tax-exempt obligation that is a covered security acquired before January 1, 2017. Report the accrued market discount on your income tax return as directed in the Instructions for Form 1040 and 1040-SR. Market discount on a tax-exempt security is includible in taxable income as interest income.

**Box 6.** For a taxable covered security, shows the amount of acquisition premium amortization for the year that reduces the amount of OID that is included as interest on your income tax return. If an amount is reported in this box, see the Instructions for Schedule B (Form 1040 or 1040-SR). If an amount is not reported in this box for a covered security acquired with acquisition premium, the payer has reported a net amount of OID that reflects the offset of OID that is included in income. If the payer has reported a net amount of OID in box 1 or box 8, you must report the net amount of OID on Schedule B (Form 1040 or 1040-SR) and you must not make an adjustment to this amount for acquisition premium on Schedule B (Form 1040 or 1040-SR).

If there is an amount in both boxes 6 and 11, for a tax-exempt obligation that is a covered security acquired on or after January 1, 2017, and issued with OID, the amount in box 6 shows the amount of acquisition premium amortization for the year that reduces the amount of your tax-exempt OID for the year. The payer may, but is not required to, report the acquisition premium for a tax-exempt obligation that is a covered security acquired before January 1, 2017, and issued with OID. See the instructions above for a covered security acquired with acquisition premium.

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

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

**Box 9.** Any amount shown is your share of investment expenses of a single-class REMIC. This amount is included in box 2. **Note:** This amount is not deductible.

**Box 10.** For a taxable covered security, including a Treasury inflation-protected security, shows the amount of premium amortization allocable to the interest payment(s), unless you notified the payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to

amortize bond premium under section 171. If an amount is reported in this box, see the Instructions for Schedule B (Form 1040 or 1040-SR). If an amount is not reported in this box for a taxable covered security acquired at a premium and the payer is reporting premium amortization, the payer has

reported a net amount of interest in box 2. If the amount in this box is greater than the amount of interest paid on the covered security, see Regulations section 1.171-2(a)(4).

If there is an amount in both boxes 10 and 11, for a tax-exempt obligation that is a covered security acquired on or after January 1, 2017, and issued with OID, the amount in box 10 shows the amount of premium amortization for the year that reduces the amount of your tax-exempt interest for the year. The payer may, but is not required to, report the premium amortization for a tax-exempt obligation that is a covered security acquired before January 1, 2017, and issued with OID.

**Box 11.** For a tax-exempt obligation that is a covered security acquired on or after January 1, 2017, shows the tax-exempt OID on the obligation for the part of the year you owned it. The payer may, but is not required to, report the OID for a tax-exempt obligation that is a covered security

acquired before January 1, 2017. In general, report the amount of tax-exempt OID on Form 1040 or 1040-SR. See the instructions above for a covered security acquired with acquisition premium.

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

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