tastyworks.

Consolidated 1099 Guide

TAX YEAR 2022

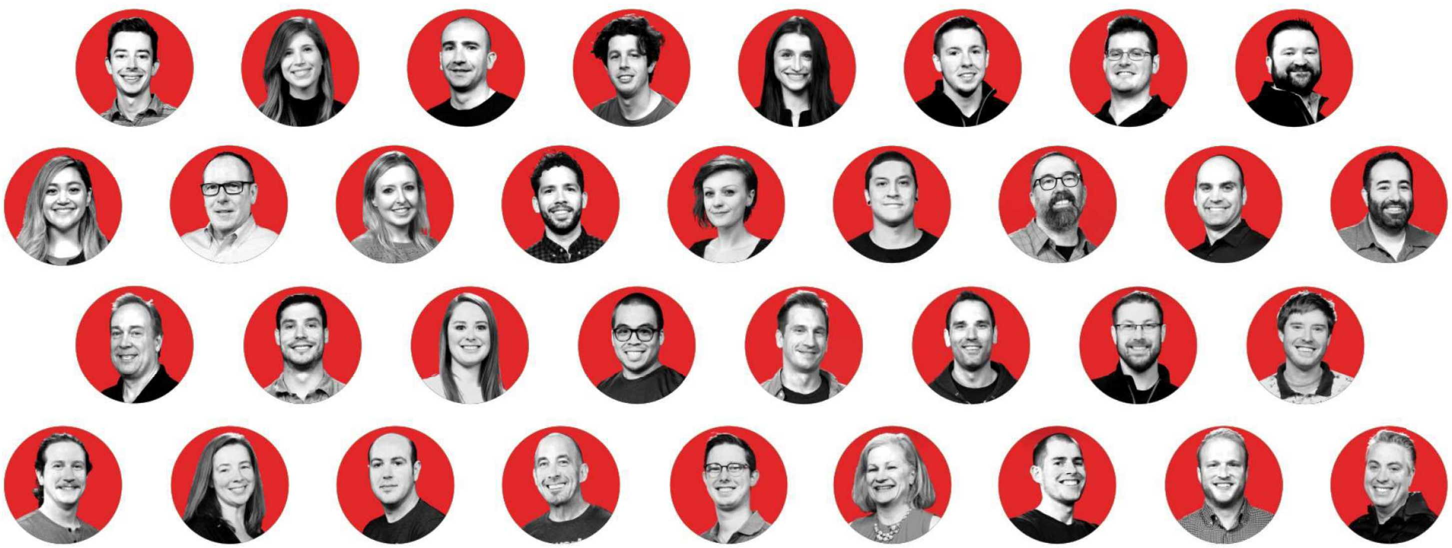
Before we get started …

Taxes can be complicated, and just when you get the hang of trading, Uncle Sam comes a-knockin' and greets you with this lovely Consolidated 1099. Whether you're a seasoned trader and have been around the block when it comes to taxes or new to trading, we made this tax form guide to help familiarize yourself with these tax documents.

Before you get started, first take a gander at the next page to learn which tax forms you can expect. Next, check out the Layout Guide (p. iii) to determine the layout of this guide. Also, the Table of Contents (p. iv) is the order of a fully loaded Consolidated 1099, but remember, included forms are based on your account activity.

If you have any questions, then please visit the **Tax Center section of our Help Center**.

—the tastyworks business team



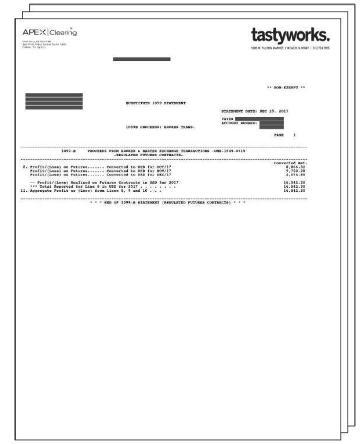
What did you trade and which tax forms can you expect?

Only stocks and/or stock options, index options

- Consolidated Forms 1099

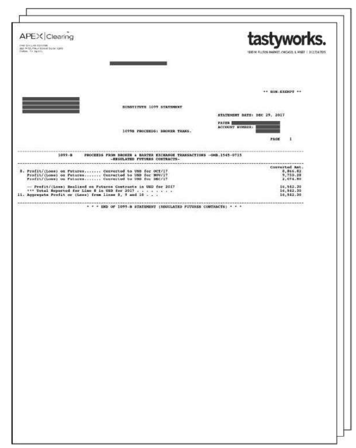
Only futures and/or options on futures

- Substitute 1099 Statement, issued by StoneX via Apex Clearing



Stocks and/or stock options + futures and/or options on futures

- Consolidated Forms 1099
- Substitute 1099 Statement, issued by StoneX via Apex Clearing

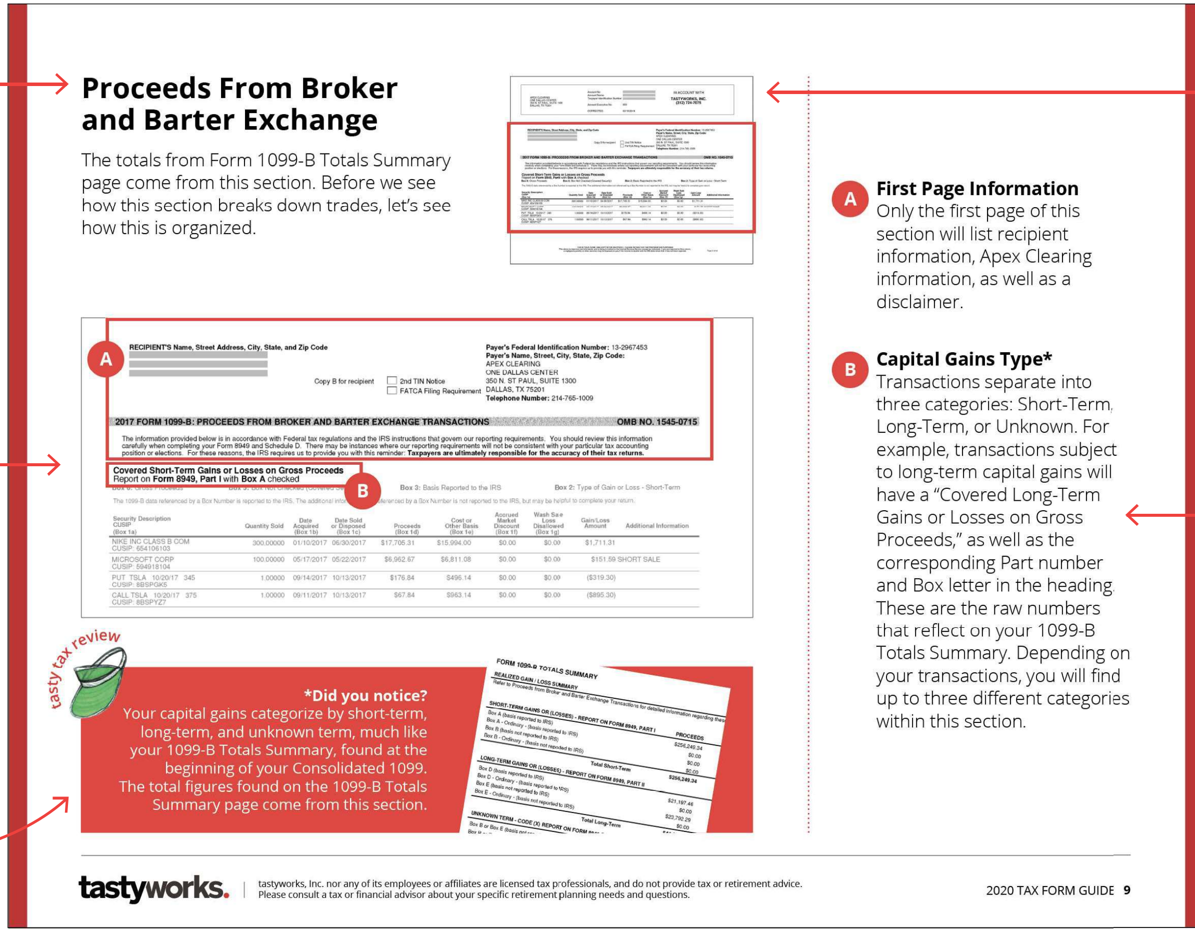


Layout Guide

Headline and Subhead
The headline lists the form explained in the illustration below and the subhead provides a short description.

Enlarged form
An expanded view of the tax form mentioned displays here and any callouts are in red circles with a letter.

Mentions
Keep a look out for any special mentions. They appear on some pages and provide greater depth to the form.



Proceeds From Broker and Barter Exchange

The totals from Form 1099-B Totals Summary page come from this section. Before we see how this section breaks down trades, let's see how this is organized.

RECIPIENT'S Name, Street Address, City, State, and Zip Code

Payer's Federal Identification Number: 13-2967453
Payer's Name, Street, City, State, Zip Code:
APEX CLEARING
ONE DALLAS CENTER
350 N. ST PAUL, SUITE 1300
DALLAS, TX 75201
Telephone Number: 214-765-1009

Copy B for recipient
2nd TIN Notice
FATCA Filing Requirement

2017 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS — OMB NO. 1545-0715

The information provided below is in accordance with Federal tax regulations and the IRS instructions that govern our reporting requirements. You should review this information carefully when completing your Form 8949 and Schedule D. There may be instances where our reporting requirements will not be consistent with your particular tax accounting position or elections. For these reasons, the IRS requires us to provide you with this reminder: Taxpayers are ultimately responsible for the accuracy of their tax returns.

Covered Short-Term Gains or Losses on Gross Proceeds
Report on Form 8949, Part I with Box A checked

Box 3: Basis Reported to the IRS — Box 2: Type of Gain or Loss - Short-Term

Security Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
NIKE INC CLASS B COM CUSIP: 654106103	300.00000	01/10/2017	06/30/2017	$17,706.31	$15,994.00	$0.00	$0.00	$1,711.31	
MICROSOFT CORP CUSIP: 594918104	100.00000	05/17/2017	05/22/2017	$6,962.67	$6,811.08	$0.00	$0.00		$151.59 SHORT SALE
PUT TSLA 10/20/17 345 CUSIP: 8BSPGK5	1.00000	09/14/2017	10/13/2017	$176.84	$496.14	$0.00	$0.00	($319.30)	
CALL TSLA 10/20/17 375 CUSIP: 8BSPYZ7	1.00000	09/11/2017	10/13/2017	$67.84	$963.14	$0.00	$0.00	($895.30)	

tasty tax review

***Did you notice?**
Your capital gains categorize by short-term, long-term, and unknown term, much like your 1099-B Totals Summary, found at the beginning of your Consolidated 1099. The total figures found on the 1099-B Totals Summary page come from this section.

FORM 1099-B TOTALS SUMMARY
REALIZED GAIN / LOSS SUMMARY

A **First Page Information**
Only the first page of this section will list recipient information, Apex Clearing information, as well as a disclaimer.

B **Capital Gains Type***
Transactions separate into three categories: Short-Term, Long-Term, or Unknown. For example, transactions subject to long-term capital gains will have a "Covered Long-Term Gains or Losses on Gross Proceeds," as well as the corresponding Part number and Box letter in the heading. These are the raw numbers that reflect on your 1099-B Totals Summary. Depending on your transactions, you will find up to three different categories within this section.

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Wayfinder
This graphic provides an overall view of the document displayed. The portion mentioned on the page is outlined in red.

Description of Callouts
Detailed description of each callout lists here.

Table of Contents

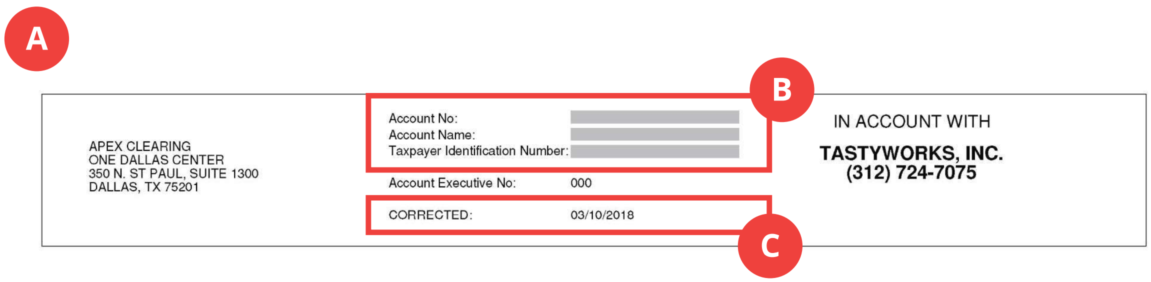
This is also the order your Consolidated 1099 will come.

tasty tax review

How come I didn't receive all of these forms? Forms included in your Consolidated 1099 will vary, based on your account activity and positions held.

Tax Form Header

Account information and correction dates (if applicable) list on all pages of your Consolidated 1099.



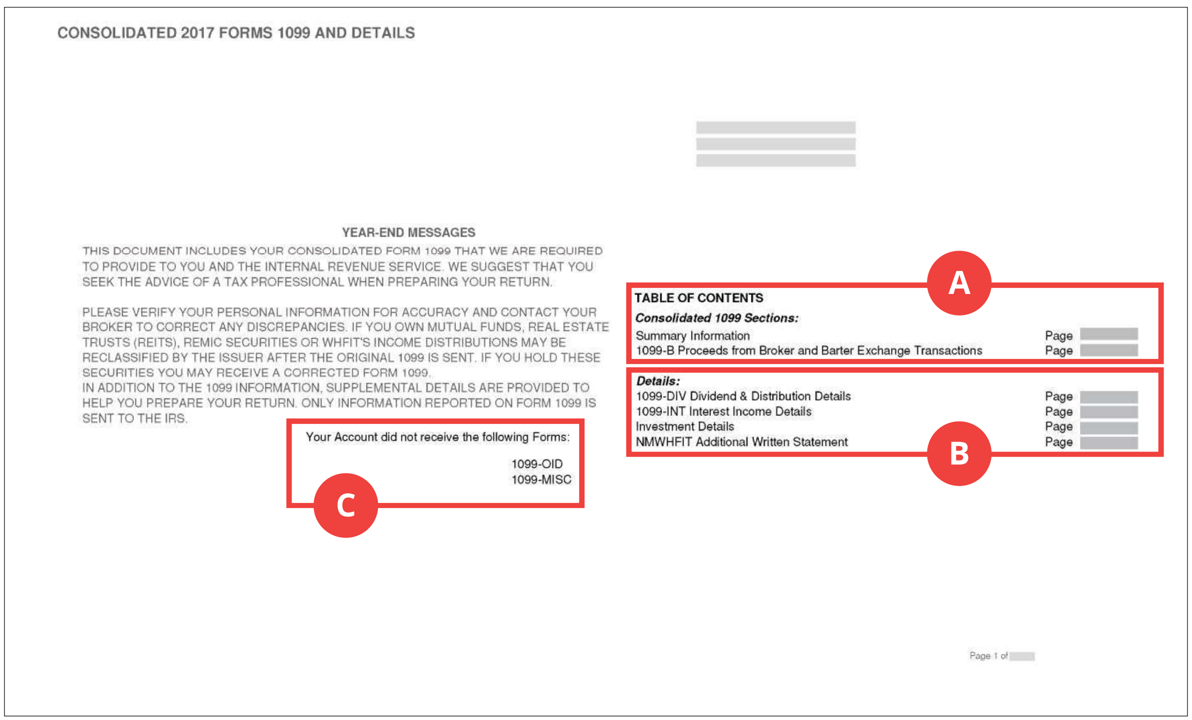
A **Account Information Header**
This header appears on each page of your consolidated 1099.

B **Account Information**
Your tastyworks account number, account owner, and tax ID number. For joint accounts, the SSN of the primary applicant, or the person who initiated the account application, will list.

C **Correction (if applicable)**
If your 1099 had any revisions from its original issue date, then the correction date will list here. In some cases, multiple corrections may occur, resulting in a reissued 1099.

Table of Contents

Quickly find which forms are part of your Consolidated 1099 and where to find them.



CONSOLIDATED 2017 FORMS 1099 AND DETAILS

YEAR-END MESSAGES

THIS DOCUMENT INCLUDES YOUR CONSOLIDATED FORM 1099 THAT WE ARE REQUIRED TO PROVIDE TO YOU AND THE INTERNAL REVENUE SERVICE. WE SUGGEST THAT YOU SEEK THE ADVICE OF A TAX PROFESSIONAL WHEN PREPARING YOUR RETURN.

PLEASE VERIFY YOUR PERSONAL INFORMATION FOR ACCURACY AND CONTACT YOUR BROKER TO CORRECT ANY DISCREPANCIES. IF YOU OWN MUTUAL FUNDS, REAL ESTATE TRUSTS (REITS), REMIC SECURITIES OR WHFIT'S INCOME DISTRIBUTIONS MAY BE RECLASSIFIED BY THE ISSUER AFTER THE ORIGINAL 1099 IS SENT. IF YOU HOLD THESE SECURITIES YOU MAY RECEIVE A CORRECTED FORM 1099.
IN ADDITION TO THE 1099 INFORMATION, SUPPLEMENTAL DETAILS ARE PROVIDED TO HELP YOU PREPARE YOUR RETURN. ONLY INFORMATION REPORTED ON FORM 1099 IS SENT TO THE IRS.

Your Account did not receive the following Forms:
1099-OID
1099-MISC

C

A

TABLE OF CONTENTS

B

Page 1 of

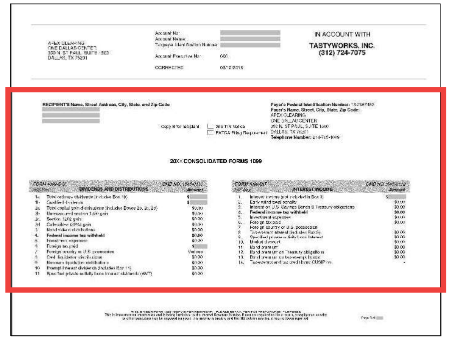
A **Table of Contents**
Each Consolidated 1099 includes **Summary Information** and **1099-B Proceeds from Broker and Barter Exchange Transactions**. The page number lists immediately to the right of each line item.

B **Forms Included**
All 1099s included list beneath **Details**, as well as the page number.

C **Forms Not Included**
Each Consolidated 1099 includes specific tax forms based on account activity. Tax forms not included in your 1099 list in this section.

Consolidated Forms 1099

Any 1099s (DIV, OID, INT, MISC) included summarize here, and depending on account activity may span over multiple pages. Below is an example of a Consolidated 1099 that received a 1099-DIV and 1099-INT.



RECIPIENT'S Name, Street Address, City, State, and Zip Code

Copy B for recipient ☐ 2nd TIN Notice ☐ FATCA Filing Requirement

Payer's Federal Identification Number: 13-2967453 **A**
Payer's Name, Street, City, State, Zip Code:
APEX CLEARING
ONE DALLAS CENTER
350 N. ST PAUL, SUITE 1300
DALLAS, TX 75201
Telephone Number: 214-765-1009

20XX CONSOLIDATED FORMS 1099

B

FORM 1099-DIV IRS Box	DIVIDENDS AND DISTRIBUTIONS	OMB NO. 1545-0110 Amount
1a.	Total ordinary dividends (includes Box 1b)	$
1b.	Qualified dividends	$
2a.	Total capital gain distributions (includes Boxes 2b, 2c, 2d)	$0.00
2b.	Unrecaptured section 1250 gain	$0.00
2c.	Section 1202 gain	$0.00
2d.	Collectibles (28%) gain	$0.00
3.	Nondividend distributions	$0.00
4.	**Federal income tax withheld**	**$0.00**
5.	Investment expenses	$0.00
6.	Foreign tax paid	$
7.	Foreign country or U.S. possession	Various
8.	Cash liquidation distributions	$0.00
9.	Noncash liquidation distributions	$0.00
10.	Exempt-interest dividends (includes Box 11)	$0.00
11.	Specified private activity bond interest dividends (AMT)	$0.00

C

FORM 1099-INT IRS Box	INTEREST INCOME	OMB NO.1545-0112 Amount
1.	Interest income (not included in Box 3)	$
2.	Early withdrawal penalty	$0.00
3.	Interest on U.S. Savings Bonds & Treasury obligations	$0.00
4.	**Federal income tax withheld**	**$0.00**
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.	-

THIS IS YOUR FORM 1099 (COPY B FOR RECIPIENT) - PLEASE RETAIN FOR TAX PREPARATION PURPOSES
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 sanctions may be imposed on you if this income is taxable and the IRS determines that it has not been reported.

Page 3 of

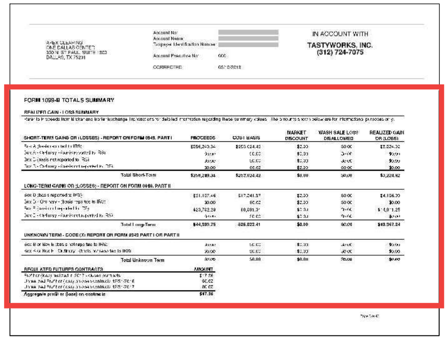
A **Payer's Federal Identification Number**
If you require a **Payer's Federal Identification Number** or **Employer Identification Number (EIN)** to file your taxes, then you can locate it above Apex's address.

B **Summarized 1099-DIV**
Accounts that receive any dividends or distributions will appear here. For an itemized list of dividend payments, please refer to the table of contents to view your entire 1099-DIV.

C **Summarized 1099-INT**
Any interest income received of $10 or more reports to the IRS and lists in this section. For an itemized list of interest payments, please refer to the table of contents to view your entire 1099-INT.

Form 1099-B Totals Summary

Short-term capital gains or losses, long-term capital gains or losses, profit/loss with an unknown term, and profit/loss on options contracts that qualify under IRS Section 1256 (labeled as Regulated Futures Contract) list on this page. Gains list as a whole number and losses list in (parenthesis).



FORM 1099-B TOTALS SUMMARY

REALIZED GAIN / LOSS SUMMARY

Refer to Proceeds from Broker and Barter Exchange Transactions for detailed information regarding these summary values. The amounts shown below are for informational purposes only.

SHORT-TERM GAINS OR (LOSSES) - REPORT ON FORM 8949, PART I	PROCEEDS	COST BASIS	MARKET DISCOUNT	WASH SALE LOSS DISALLOWED	REALIZED GAIN OR (LOSS)
Box A (basis reported to IRS)	$256,249.34	$253,024.42	$0.00	$0.00	$3,224.92
Box A - Ordinary - (basis reported to IRS)	$0.00	$0.00	$0.00	$0.00	$0.00
Box B (basis not reported to IRS)	$0.00	$0.00	$0.00	$0.00	$0.00
Box B - Ordinary - (basis not reported to IRS)	$0.00	$0.00	$0.00	$0.00	$0.00
Total Short-Term	**$256,249.34**	**$253,024.42**	**$0.00**	**$0.00**	**$3,224.92**

A

LONG-TERM GAINS OR (LOSSES) - REPORT ON FORM 8949, PART II					
Box D (basis reported to IRS)	$21,197.46	$17,041.37	$0.00	$0.00	$4,156.09
Box D - Ordinary - (basis reported to IRS)	$0.00	$0.00	$0.00	$0.00	$0.00
Box E (basis not reported to IRS)	$23,792.29	$8,981.04	$0.00	$0.00	$14,811.25
Box E - Ordinary - (basis not reported to IRS)	$0.00	$0.00	$0.00	$0.00	$0.00
Total Long-Term	**$44,989.75**	**$26,022.41**	**$0.00**	**$0.00**	**$18,967.34**

B

UNKNOWN TERM - CODE (X) REPORT ON FORM 8949 PART I OR PART II					
Box B or Box E (basis not reported to IRS)	$0.00	$0.00	$0.00	$0.00	$0.00
Box B or Box E - Ordinary - (basis not reported to IRS)	$0.00	$0.00	$0.00	$0.00	$0.00
Total Unknown Term	**$0.00**	**$0.00**	**$0.00**	**$0.00**	**$0.00**

C

REGULATED FUTURES CONTRACTS	AMOUNT
Profit or (loss) realized in 2017 - closed contracts	$17.36
Unrealized Profit or (loss) on open contracts 12/31/2016	$0.00
Unrealized Profit or (loss) on open contracts 12/31/2017	$0.00
Aggregate profit or (loss) on contracts	**$17.36**

D

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A **Short-term Gains or (Losses)**
Any position held for 365 calendar days (one-year) or less are subject to short-term capital gains or (losses).

B **Long-Term Gains or (Losses)**
Any position held for 366 calendar days (one-year + 1 day) or more are subject to long-term capital gains or (losses).

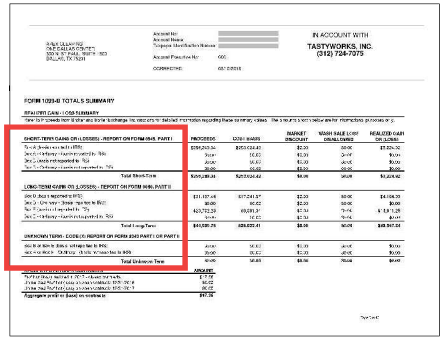
C **Unknown Term**
Any position closed without a known open date (typically affects recently transferred positions) are listed here.

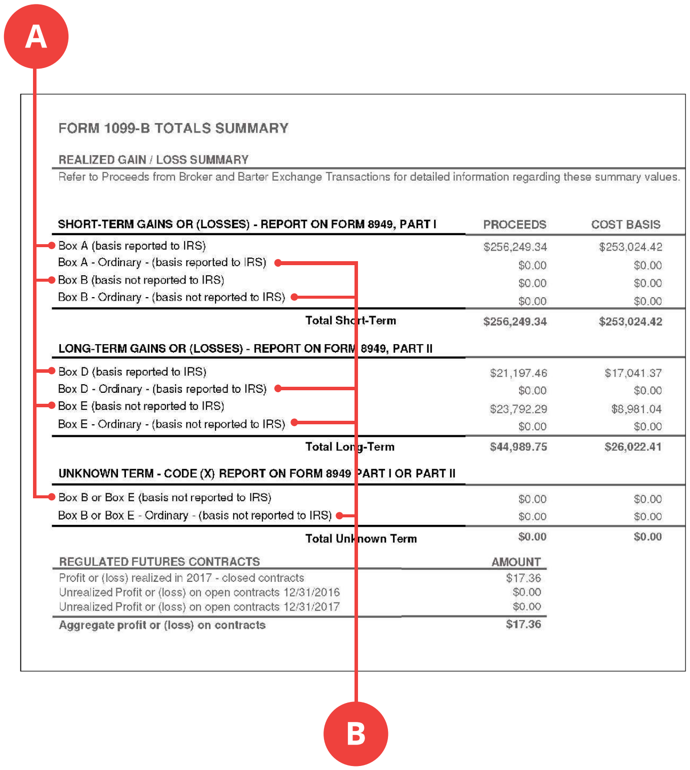
D **Regulated Futures Contracts (index options)***
The total profit or (loss) from Section 1256 products list here. This total does not include futures trading, but rather, cash-settled index options.

***Wait...I didn't trade any futures?!**
Did you trade **SPX**, **NDX**, **RUT**, **DJX**, or **any other cash-settled index option**? If so, then you traded a Section 1256 product. In a nutshell, these products are mark-to-market, which falls under the same reporting rules as futures. To learn more about this, please refer to page 8.

Form 1099-B Totals Summary (cont.)

Box A, Box B, Box D, and Box E? What's with all these boxes? Let's go over this …





FORM 1099-B TOTALS SUMMARY

REALIZED GAIN / LOSS SUMMARY

Refer to Proceeds from Broker and Barter Exchange Transactions for detailed information regarding these summary values.

SHORT-TERM GAINS OR (LOSSES) - REPORT ON FORM 8949, PART I	PROCEEDS	COST BASIS
Box A (basis reported to IRS)	$256,249.34	$253,024.42
Box A - Ordinary - (basis reported to IRS)	$0.00	$0.00
Box B (basis not reported to IRS)	$0.00	$0.00
Box B - Ordinary - (basis not reported to IRS)	$0.00	$0.00
Total Short-Term	**$256,249.34**	**$253,024.42**
LONG-TERM GAINS OR (LOSSES) - REPORT ON FORM 8949, PART II		
Box D (basis reported to IRS)	$21,197.46	$17,041.37
Box D - Ordinary - (basis reported to IRS)	$0.00	$0.00
Box E (basis not reported to IRS)	$23,792.29	$8,981.04
Box E - Ordinary - (basis not reported to IRS)	$0.00	$0.00
Total Long-Term	**$44,989.75**	**$26,022.41**
UNKNOWN TERM - CODE (X) REPORT ON FORM 8949 PART I OR PART II		
Box B or Box E (basis not reported to IRS)	$0.00	$0.00
Box B or Box E - Ordinary - (basis not reported to IRS)	$0.00	$0.00
Total Unknown Term	**$0.00**	**$0.00**

REGULATED FUTURES CONTRACTS	AMOUNT
Profit or (loss) realized in 2017 - closed contracts	$17.36
Unrealized Profit or (loss) on open contracts 12/31/2016	$0.00
Unrealized Profit or (loss) on open contracts 12/31/2017	$0.00
Aggregate profit or (loss) on contracts	**$17.36**

Short-Term vs. Long-Term
Generally, taxes on positions subject to short-term capital gains are at your ordinary income tax rate. On the other hand, long-term capital gains are subject to a lower tax rate, and your tax bracket determines that rate. How do you know if a position falls under short-term or long-term capital gains? Just look at your holding period, or the date acquired versus the date disposed.

365 days or less = short-term
366 days or more = long-term

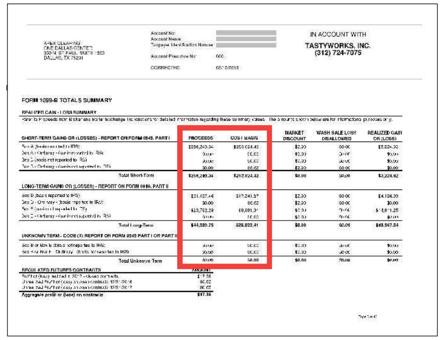
Lastly, **short-term capital gains/losses apply to all short stock or short options positions**, regardless of the holding period.

A **Capital Gains or (Losses)**
Transactions subject to capital gains or loss rules (IRS Section 1222), primarily short-term or long-term capital gains or losses, are listed on this line.

B **Ordinary Income or (Losses)**
Portions of any capital gains that are subject to ordinary income or losses list on these lines. For the majority of customers, these lines are blank since trading consists of acquiring and disposing of capital assets and are subject to capital gain or loss rules. Ordinary income generally refers to wages and not to gains or losses from trading activity.

Form 1099-B Totals Summary (cont.)

The Proceeds and Cost Basis from every closing transaction.



FORM 1099-B TOTALS SUMMARY

REALIZED GAIN / LOSS SUMMARY

Refer to Proceeds from Broker and Barter Exchange Transactions for detailed information regarding these summary values. The amounts shown below are for informational purposes only.

SHORT-TERM GAINS OR (LOSSES) - REPORT ON FORM 8949, PART I	PROCEEDS	COST BASIS	MARKET DISCOUNT	WASH SALE LOSS DISALLOWED	REALIZED GAIN OR (LOSS)
Box A (basis reported to IRS)	$256,249.34	$253,024.42	$0.00	$0.00	$3,224.92
Box A - Ordinary - (basis reported to IRS)	$0.00	$0.00	$0.00	$0.00	$0.00
Box B (basis not reported to IRS)	$0.00	$0.00	$0.00	$0.00	$0.00
Box B - Ordinary - (basis not reported to IRS)	$0.00	$0.00	$0.00	$0.00	$0.00
Total Short-Term	**$256,249.34**	**$253,024.42**	**$0.00**	**$0.00**	**$3,224.92**
LONG-TERM GAINS OR (LOSSES) - REPORT ON FORM 8949, PART II					
Box D (basis reported to IRS)	$21,197.46	$17,041.37	$0.00	$0.00	$4,156.09
Box D - Ordinary - (basis reported to IRS)	$0.00	$0.00	$0.00	$0.00	$0.00
Box E (basis not reported to IRS)	$23,792.29	$8,981.04	$0.00	$0.00	$14,811.25
Box E - Ordinary - (basis not reported to IRS)	$0.00	$0.00	$0.00	$0.00	$0.00
Total Long-Term	**$44,989.75**	**$26,022.41**	**$0.00**	**$0.00**	**$18,967.34**
UNKNOWN TERM - CODE (X) REPORT ON FORM 8949 PART I OR PART II					
Box B or Box E (basis not reported to IRS)	$0.00	$0.00	$0.00	$0.00	$0.00
Box B or Box E - Ordinary - (basis not reported to IRS)	$0.00	$0.00	$0.00	$0.00	$0.00
Total Unknown Term	**$0.00**	**$0.00**	**$0.00**	**$0.00**	**$0.00**

A B

REGULATED FUTURES CONTRACTS	AMOUNT
Profit or (loss) realized in 2017 - closed contracts	$17.36
Unrealized Profit or (loss) on open contracts 12/31/2016	$0.00
Unrealized Profit or (loss) on open contracts 12/31/2017	$0.00
Aggregate profit or (loss) on contracts	$17.36

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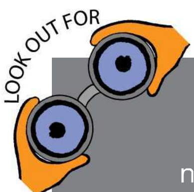
A **Proceeds**
Proceeds include any credit collected from short sales (equity option premiums and short stock sales) or any liquidated long stock position. Proceeds also include call assignments and put exercises. A proceed, in short, is any money received from a trade.

B **Cost Basis**
Cost basis includes any debit paid to close a short equity/ETF option or stock position. Additionally, it is the cost of a long stock position, including call exercises and put assignment.

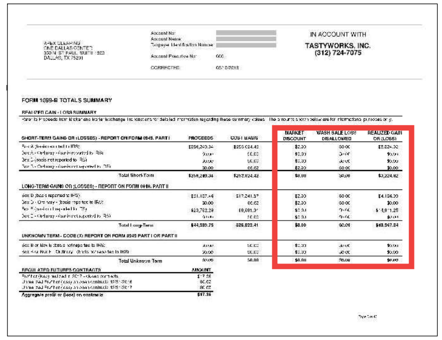


exercise and assignment

If an option(s) contract were exercised/assigned, the option contract itself would not report separately. Instead, it will be combined into your cost basis or proceeds depending on whether it was exercised or assigned. See page 10 for more details.

Form 1099-B Totals Summary (cont.)

Market discount, wash sales, and overall realized gain or (loss) for the year.



FORM 1099-B TOTALS SUMMARY

REALIZED GAIN / LOSS SUMMARY

Refer to Proceeds from Broker and Barter Exchange Transactions for detailed information regarding these summary values. The amounts shown below are for informational purposes only.

SHORT-TERM GAINS OR (LOSSES) - REPORT ON FORM 8949, PART I	PROCEEDS	COST BASIS	MARKET DISCOUNT	WASH SALE LOSS DISALLOWED	REALIZED GAIN OR (LOSS)
Box A (basis reported to IRS)	$256,249.34	$253,024.42	$0.00	$0.00	$3,224.92
Box A - Ordinary - (basis reported to IRS)	$0.00	$0.00	$0.00	$0.00	$0.00
Box B (basis not reported to IRS)	$0.00	$0.00	$0.00	$0.00	$0.00
Box B - Ordinary - (basis not reported to IRS)	$0.00	$0.00	$0.00	$0.00	$0.00
Total Short-Term	$256,249.34	$253,024.42	$0.00	$0.00	$3,224.92
LONG-TERM GAINS OR (LOSSES) - REPORT ON FORM 8949, PART II					
Box D (basis reported to IRS)	$21,197.46	$17,041.37	$0.00	$0.00	$4,156.09
Box D - Ordinary - (basis reported to IRS)	$0.00	$0.00	$0.00	$0.00	$0.00
Box E (basis not reported to IRS)	$23,792.29	$8,981.04	$0.00	$0.00	$14,811.25
Box E - Ordinary - (basis not reported to IRS)	$0.00	$0.00	$0.00	$0.00	$0.00
Total Long-Term	$44,989.75	$26,022.41	$0.00	$0.00	$18,967.34
UNKNOWN TERM - CODE (X) REPORT ON FORM 8949 PART I OR PART II					
Box B or Box E (basis not reported to IRS)	$0.00	$0.00	$0.00	$0.00	$0.00
Box B or Box E - Ordinary - (basis not reported to IRS)	$0.00	$0.00	$0.00	$0.00	$0.00
Total Unknown Term	$0.00	$0.00	$0.00	$0.00	$0.00
			A	B	C

REGULATED FUTURES CONTRACTS	AMOUNT
Profit or (loss) realized in 2017 - closed contracts	$17.36
Unrealized Profit or (loss) on open contracts 12/31/2016	$0.00
Unrealized Profit or (loss) on open contracts 12/31/2017	$0.00
Aggregate profit or (loss) on contracts	$17.36

Page 5 of 43

more about wash sales

Despite the funny name, wash sales can affect your total realized gain or loss. **We'll go into further detail about wash sales on page 14.**

A — Market Discount

Generally, market discounts pertain to closed fixed-income positions. If any fixed-income securities were transferred to tastyworks and closed, then an amount may populate here.

B — Wash Sales Loss Disallowed

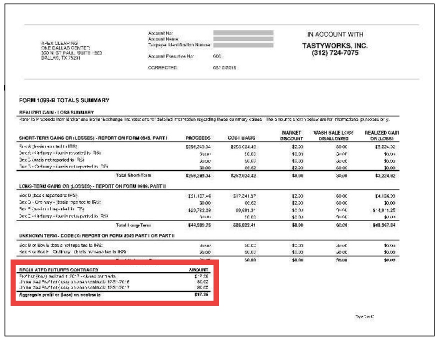
The IRS prevents investors from recognizing artificial losses if a **"substantially identical" position reestablishes within 30 days or less**. Any disallowed loss lists in this column and as a whole number.

C — Realized Gains or (Loss)

Your total gain or (loss) is printed in this column. **If the account had any wash sales then the realized gain or (loss) will not include it.**

Form 1099-B Totals Summary (cont.)

The total profit or (loss) from cash-settled index options transactions are listed here. These contracts are also known as Section 1256 contracts. These products include index options such as ...



Cash-Settled Index Options
DJX MNX NDX OEX RUT RVX SPX VIX XEO XSP

FORM 1099-B TOTALS SUMMARY

REALIZED GAIN / LOSS SUMMARY

Refer to Proceeds from Broker and Barter Exchange Transactions for detailed information regarding these summary values. The amounts shown bel

SHORT-TERM GAINS OR (LOSSES) - REPORT ON FORM 8949, PART I	PROCEEDS	COST BASIS	MARKET DISCOUNT	[illegible]	[illegible]
Box A (basis reported to IRS)	$256,249.34	$253,024.42	$0.00	[illegible]	[illegible]
Box A - Ordinary - (basis reported to IRS)	$0.00	$0.00	$0.00	[illegible]	[illegible]
Box B (basis not reported to IRS)	$0.00	$0.00	$0.00	$0.00	$0.00
Box B - Ordinary - (basis not reported to IRS)	$0.00	$0.00	$0.00	$0.00	$0.00
Total Short-Term	$256,249.34	$253,024.42	$0.00	$0.00	$3,224.92
LONG-TERM GAINS OR (LOSSES) - REPORT ON FORM 8949, PART II					
Box D (basis reported to IRS)	$21,197.46	$17,041.37	$0.00	$0.00	$4,156.09
Box D - Ordinary - (basis reported to IRS)	$0.00	$0.00	$0.00	$0.00	$0.00
Box E (basis not reported to IRS)	$23,792.29	$8,981.04	$0.00	$0.00	$14,811.25
Box E - Ordinary - (basis not reported to IRS)	$0.00	$0.00	$0.00	$0.00	$0.00
Total Long-Term	$44,989.75	$26,022.41	$0.00	$0.00	$18,967.34
UNKNOWN TERM - CODE (X) REPORT ON FORM 8949 PART I OR PART II					
Box B or Box E (basis not reported to IRS)	$0.00	$0.00	$0.00	$0.00	$0.00
Box B or Box E - Ordinary - (basis not reported to IRS)	$0.00	$0.00	$0.00	$0.00	$0.00
Total Unknown Term	$0.00	$0.00	$0.00	$0.00	$0.00

REGULATED FUTURES CONTRACTS	AMOUNT
Profit or (loss) realized in 2017 - closed contracts	$17.36
Unrealized Profit or (loss) on open contracts 12/31/2016	$0.00
Unrealized Profit or (loss) on open contracts 12/31/2017	$0.00
Aggregate profit or (loss) on contracts	**$17.36**

A

Page 5 of 43

a closer look at regulated futures

All transactions in Section 1256 options contracts and futures contracts are taxed differently than equity and equity options. Make sure you **check out pages 15-16** to learn how to properly file a profit or loss.

A

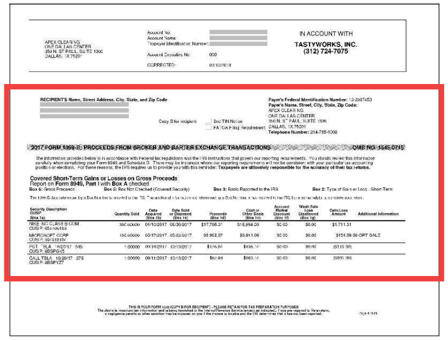
Regulated Futures Contracts

The total from trades in cash-settled index options such as SPX, NDX, VIX, etc. display in this section. These contracts, also known as (IRS) Section 1256 options contracts, have a different tax treatment (60% long-term capital gains and 40% short-term capital gains), as opposed to standard equity options.

This amount also includes any open positions held to the new year since Section 1256 contracts are mark-to-market daily. This amount does NOT include any futures or options on futures transactions. To properly file, you must list the aggregate profit or loss listed here and your total gain or loss on your Substitute 1099 Statement for futures (refer to pp.15-16, if applicable) to fill out Form 6781: Gains and Losses From Section 1256 Contracts and Straddles when filing.

Proceeds From Broker and Barter Exchange

The totals from Form 1099-B Totals Summary page come from this section. Before we see how this section breaks down trades, let's see how this is organized.



A

RECIPIENT'S Name, Street Address, City, State, and Zip Code

Copy B for recipient ☐ 2nd TIN Notice ☐ FATCA Filing Requirement

Payer's Federal Identification Number: 13-2967453
Payer's Name, Street, City, State, Zip Code:
APEX CLEARING
ONE DALLAS CENTER
350 N. ST PAUL, SUITE 1300
DALLAS, TX 75201
Telephone Number: 214-765-1009

2017 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS **OMB NO. 1545-0715**

The information provided below is in accordance with Federal tax regulations and the IRS instructions that govern our reporting requirements. You should review this information carefully when completing your Form 8949 and Schedule D. There may be instances where our reporting requirements will not be consistent with your particular tax accounting position or elections. For these reasons, the IRS requires us to provide you with this reminder: **Taxpayers are ultimately responsible for the accuracy of their tax returns.**

Covered Short-Term Gains or Losses on Gross Proceeds
Report on **Form 8949, Part I** with **Box A** checked

B

Box 3: Basis Reported to the IRS **Box 2:** Type of Gain or Loss - Short-Term

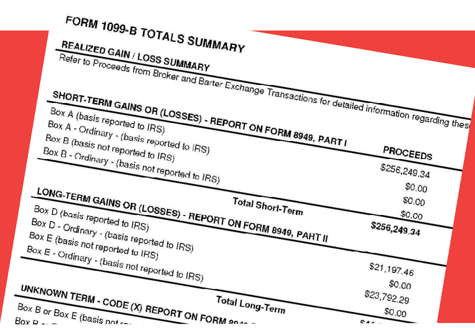
The 1099-B data referenced by a Box Number is reported to the IRS. The additional infor... referenced by a Box Number is not reported to the IRS, but may be helpful to complete your return.

Security Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
NIKE INC CLASS B COM CUSIP: 654106103	300.00000	01/10/2017	06/30/2017	$17,705.31	$15,994.00	$0.00	$0.00	$1,711.31	
MICROSOFT CORP CUSIP: 594918104	100.00000	05/17/2017	05/22/2017	$6,962.67	$6,811.08	$0.00	$0.00	$151.59	SHORT SALE
PUT TSLA 10/20/17 345 CUSIP: 8BSPGK5	1.00000	09/14/2017	10/13/2017	$176.84	$496.14	$0.00	$0.00	($319.30)	
CALL TSLA 10/20/17 375 CUSIP: 8BSPYZ7	1.00000	09/11/2017	10/13/2017	$67.84	$963.14	$0.00	$0.00	($895.30)	

A **First Page Information**
Only the first page of this section will list recipient information, Apex Clearing information, as well as a disclaimer.

B **Capital Gains Type***
Transactions separate into three categories: Short-Term, Long-Term, or Unknown. For example, transactions subject to long-term capital gains will have a "Covered Long-Term Gains or Losses on Gross Proceeds," as well as the corresponding Part number and Box letter in the heading. These are the raw numbers that reflect on your 1099-B Totals Summary. Depending on your transactions, you will find up to three different categories within this section.

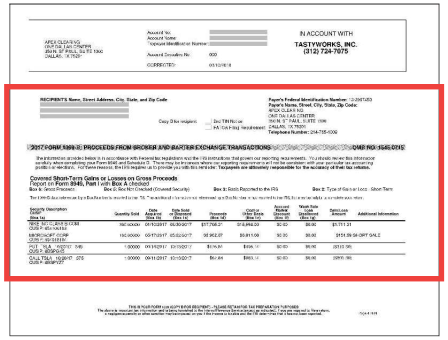
***Did you notice?**
Your capital gains categorize by short-term, long-term, and unknown term, much like your 1099-B Totals Summary, found at the beginning of your Consolidated 1099. The total figures found on the 1099-B Totals Summary page come from this section.


FORM 1099-B TOTALS SUMMARY
REALIZED GAIN / LOSS SUMMARY
Refer to Proceeds from Broker and Barter Exchange Transactions for detailed information regarding these

SHORT-TERM GAINS OR (LOSSES) - REPORT ON FORM 8949, PART I	PROCEEDS
Box A (basis reported to IRS)	$256,249.34
Box A - Ordinary - (basis reported to IRS)	$0.00
Box B (basis not reported to IRS)	$0.00
Box B - Ordinary - (basis not reported to IRS)	$0.00
Total Short-Term	$256,249.34
LONG-TERM GAINS OR (LOSSES) - REPORT ON FORM 8949, PART II	
Box D (basis reported to IRS)	$21,197.46
Box D - Ordinary - (basis reported to IRS)	$0.00
Box E (basis not reported to IRS)	$23,792.29
Box E - Ordinary - (basis not reported to IRS)	$0.00
Total Long-Term	
UNKNOWN TERM - CODE (X) REPORT ON FORM 8949...	
Box B or Box E (basis not ...	

Proceeds from Broker and Barter Exchange (cont.)

Each equity (stock) and ETF transaction resulting in a profit or (loss) reports in this section for you to reference when importing or filling out Form 8949. Transactions also include any shares that were assigned or exercised, including spreads. All proceeds and cost bases include (net) commissions and fees.



RECIPIENT'S Name, Street Address, City, State, and Zip Code

Copy B for recipient ☐ 2nd TIN Notice ☐ FATCA Filing Requirement

Payer's Federal Identification Number: 13-2967453
Payer's Name, Street, City, State, Zip Code:
APEX CLEARING
ONE DALLAS CENTER
350 N. ST PAUL, SUITE 1300
DALLAS, TX 75201
Telephone Number: 214-765-1009

2017 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS **OMB NO. 1545-0715**

The information provided below is in accordance with Federal tax regulations and the IRS instructions that govern our reporting requirements. You should review this information carefully when completing your Form 8949 and Schedule D. There may be instances where our reporting requirements will not be consistent with your particular tax accounting position or elections. For these reasons, the IRS requires us to provide you with this reminder: **Taxpayers are ultimately responsible for the accuracy of their tax returns.**

Covered Short-Term Gains or Losses on Gross Proceeds
Report on **Form 8949, Part I** with **Box A** checked
Box 6: Gross Proceeds **Box 5:** Box Not Checked (Covered Security) **Box 3:** Basis Reported to the IRS **Box 2:** Type of Gain or Loss - Short-Term

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.

A

Security Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
NIKE INC CLASS B COM CUSIP: 654106103	300.00000	01/10/2017	06/30/2017	$17,705.31	$15,994.00	$0.00	$0.00	$1,711.31	
MICROSOFT CORP CUSIP: 594918104	100.00000	05/17/2017	05/22/2017	$6,962.67	$6,811.08	$0.00	$0.00	$151.59	SHORT SALE
PUT TSLA 10/20/17 345 CUSIP: 8BSPGK5	1.00000	09/14/2017	10/13/2017	$176.84	$496.14	$0.00	$0.00	($319.30)	
CALL TSLA 10/20/17 375 CUSIP: 8BSPYZ7	1.00000	09/11/2017	10/13/2017	$67.84	$963.14	$0.00	$0.00	($895.30)	

B

Long options get exercised and short options are assigned.

	Calls		Puts	
	Assignment	Exercise	Assignment	Exercise
Position	-100 shares	+100 shares	+100 shares	-100 shares
Effect	Option credit added to proceeds	Option debit added to cost basis	Option credit subtracted from cost basis	Option debit subtracted from proceeds

A Long Equity/ETF Shares

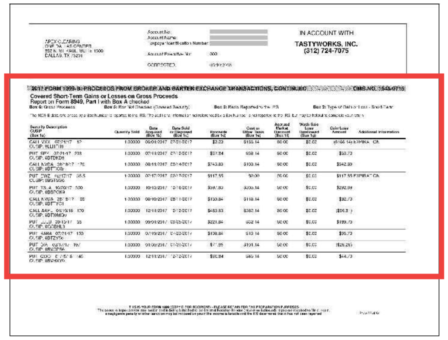
The gain or (loss) from any long equity/ETF trades list here. Outright equity/ETF positions and long equity positions that were part of an assignment or exercise of an option will list here as well. Long equity positions from a short put assignment or a long call exercise are included in the cost basis. The last trade date for long equity/ETF shares to report for the 2020 tax year was Thursday, Dec. 31, 2020.

B Short Equity/ETF Shares

You can quickly spot short equity/ETF positions under the Additional Information column of this form. Short equity positions established outright or through an assignment from a short call, or an exercise of a long put, are accounted for in the proceeds. The last trade date for short equity/ETF shares to report for the 2020 tax year was Friday, Dec. 29, 2020. Short shares are reported based on their settlement date (T+2), rather than the actual trade date.

Proceeds from Broker and Barter Exchange (cont.)

Continuing on, but this time with a focus on options transactions. Each transaction that results in a profit or (loss) reports in this section. All proceeds and cost bases are net (include) commissions and fees.



2017 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS, CONTINUED OMB NO. 1545-0715

Covered Short-Term Gains or Losses on Gross Proceeds
Report on **Form 8949, Part I** with **Box A** checked
Box 6: Gross Proceeds **Box 5:** Box Not Checked (Covered Security) **Box 3:** Basis Reported to the IRS **Box 2:** Type of Gain or Loss - Short-Term

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.

	Security Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
A	CALL VXX 07/21/17 12 CUSIP: 8LLHFH6	1.00000	06/01/2017	07/21/2017	$0.00	$166.14	$0.00	$0.00	($166.14)	EXPIRATION
	PUT SPY 07/21/17 238 CUSIP: 9BTBKD8	1.00000	07/11/2017	07/12/2017	$97.84	$38.14	$0.00	$0.00	$59.70	
	CALL NVDA 08/18/17 170 CUSIP: 9BTTXX9	1.00000	08/11/2017	08/14/2017	$745.83	$103.14	$0.00	$0.00	$642.69	
B	PUT EWZ 02/17/17 35.5 CUSIP: 9BSTSG6	1.00000	02/17/2017	02/17/2017	$117.85	$0.00	$0.00	$0.00	$117.85	EXPIRATION
	PUT TSLA 10/20/17 350 CUSIP: 9BSPGK9	1.00000	10/13/2017	10/16/2017	$597.83	$305.14	$0.00	$0.00	$292.69	
	CALL NVDA 08/18/17 195 CUSIP: 9BTTYC1	1.00000	08/10/2017	08/11/2017	$150.84	$118.14	$0.00	$0.00	$32.70	
	CALL AAPL 01/19/18 170 CUSIP: 9DTWMQ0	1.00000	12/11/2017	12/12/2017	$485.83	$582.14	$0.00	$0.00	($96.31)	
	PUT LULU 09/15/17 55 CUSIP: 9GCBHL3	1.00000	09/01/2017	09/05/2017	$221.84	$32.14	$0.00	$0.00	$189.70	
	PUT BABA 07/21/17 150 CUSIP: 9BTZVS6	1.00000	07/19/2017	07/20/2017	$108.84	$13.14	$0.00	$0.00	$95.70	
	PUT DIA 02/17/17 197 CUSIP: 9BVCPB6	1.00000	01/30/2017	01/31/2017	$71.85	$101.14	$0.00	$0.00	($29.29)	
	PUT QQQ 01/19/18 145 CUSIP: 9BVHXY0	1.00000	12/11/2017	12/12/2017	$90.84	$46.14	$0.00	$0.00	$44.70	

A **Long Option Trades**
The profit or (loss) from an options contract purchased outright or as part of a spread will populate on this form. Long options held to expiration that expire worthless will list as $0.00 beneath Proceeds, and an expiration label will appear beneath the Additional Information column.

B **Short Options Trades**
The profit or (loss) from an option sold individually as a part of a spread will populate on this form. Short options that expire worthless (or for max profit) will list at a $0.00 cost basis, and an expiration label will appear beneath the Additional Information column. Short options positions that are covered, or bought back, will contain a cost basis.

Short Reporting & Last Trade Dates

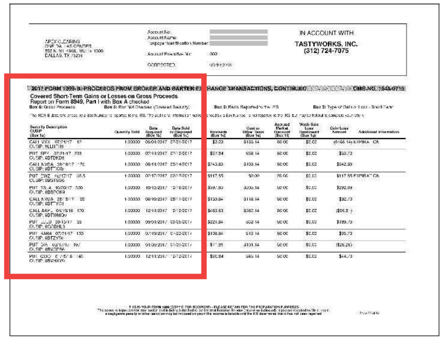
Unlike long positions, tax reporting for short positions are based on their settlement date, rather than the actual trade date. As a result, **the last date to report a gain or (loss) for a short options position for the 2020 tax year was Wednesday, Dec. 30, due to T+1 options settlement**. The deadline includes options spreads since it consists of a long option + a short option. Any short options position closed after the 30th will report in the 2021 tax year.

Wednesday, Dec. 30, 2020
Last trade date for short options positions and options spreads for 2020 tax year reporting.

Thursday, Dec. 31, 2020
Last trade date for long options positions for 2020 tax reporting.

Proceeds from Broker and Barter Exchange (cont.)

A lot is going on here, so let's go through this form one column at a time.



2017 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS, CONTINUED — OMB NO. 1545-0715

Covered Short-Term Gains or Losses on Gross Proceeds
Report on **Form 8949, Part I** with **Box A** checked
Box 6: Gross Proceeds **Box 5:** Box Not Checked (Covered Security) **Box 3:** Basis Reported to the IRS **Box 2:** Type of Gain or Loss - Short-Term

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.

Security Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
CALL VXX 07/21/17 12 CUSIP: 8LLHFH6	1.00000	06/01/2017	07/21/2017	$0.00	$166.14	$0.00	$0.00	($166.14)	EXPIRATION
PUT SPY 07/21/17 238 CUSIP: 9BTBKD8	1.00000	07/11/2017	07/12/2017	$97.84	$38.14	$0.00	$0.00	$59.70	
CALL NVDA 08/18/17 170 CUSIP: 9BTTXX9	1.00000	08/11/2017	08/14/2017	$745.83	$103.14	$0.00	$0.00	$642.69	
PUT EWZ 02/17/17 35.5 CUSIP: 9BSTSG6	1.00000	02/17/2017	02/17/2017	$117.85	$0.00	$0.00	$0.00	$117.85	EXPIRATION
PUT TSLA 10/20/17 350 CUSIP: 9BSPGK9	1.00000	10/13/2017	10/16/2017	$597.83	$305.14	$0.00	$0.00	$292.69	
CALL NVDA 08/18/17 195 CUSIP: 9BTTYC1	1.00000	08/10/2017	08/11/2017	$150.84	$118.14	$0.00	$0.00	$32.70	
CALL AAPL 01/19/18 170 CUSIP: 9BTWMQ0	1.00000	12/11/2017	12/12/2017	$485.83	$582.14	$0.00	$0.00	($96.31)	
PUT LULU 09/15/17 55 CUSIP: 9GCBHL3	1.00000	09/01/2017	09/05/2017	$221.84	$32.14	$0.00	$0.00	$189.70	
PUT BABA 07/21/17 150 CUSIP: 9BTZVS6	1.00000	07/19/2017	07/20/2017	$108.84	$13.14	$0.00	$0.00	$95.70	
PUT DIA 02/17/17 197 CUSIP: 9BVCPB6	1.00000	01/30/2017	01/31/2017	$71.85	$101.14	$0.00	$0.00	($29.29)	
PUT QQQ 01/19/18 145 CUSIP: 9BVHXY0	1.00000	12/11/2017	12/12/2017	$90.84	$46.14	$0.00	$0.00	$44.70	

A **Security Description**
The underlying security lists in this column. Equity and ETF positions list by the company name or fund descriptor. Options positions are listed first by call or put, symbol, expiration date, strike price, and CUSIP (a security identification number).

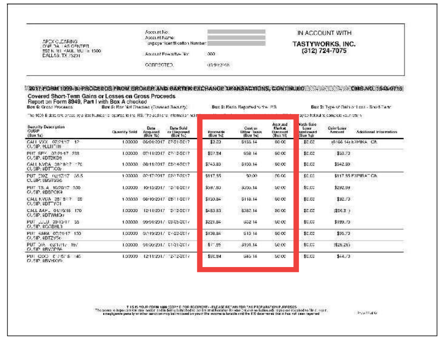
B **Quantity Sold**
Equity positions can list as a whole number as well as fractional (decimalized quantity). Reinvested dividends that are closed appear as fractional shares. Options are displayed as whole numbers and not with the multiplier.

C **Date Acquired**
The date a position was opened. Closed positions opened over multiple dates will list by the date they were acquired.

D **Date Sold or Disposed**
The date a position was closed. Positions closed over multiple dates are listed in ascending order.

Proceeds from Broker and Barter Exchange (cont.)

Continuing to the other columns.
What creates a profit or (loss)?



2017 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS, CONTINUED OMB NO. 1545-0715

Covered Short-Term Gains or Losses on Gross Proceeds
Report on **Form 8949, Part I** with **Box A** checked
Box 6: Gross Proceeds **Box 5:** Box Not Checked (Covered Security) **Box 3:** Basis Reported to the IRS **Box 2:** Type of Gain or Loss - Short-Term

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.

Security Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
CALL VXX 07/21/17 12 CUSIP: 8LLHFH6	1.00000	06/01/2017	07/21/2017	$0.00	$166.14	$0.00	$0.00	($156.14)	EXPIRATION
PUT SPY 07/21/17 238 CUSIP: 9BTBKD8	1.00000	07/11/2017	07/12/2017	$97.84	$38.14	$0.00	$0.00	$59.70	
CALL NVDA 08/18/17 170 CUSIP: 9BTTXX9	1.00000	08/11/2017	08/14/2017	$745.83	$103.14	$0.00	$0.00	$642.69	
PUT EWZ 02/17/17 35.5 CUSIP: 9BSTSG6	1.00000	02/17/2017	02/17/2017	$117.85	$0.00	$0.00	$0.00	$117.85	EXPIRATION
PUT TSLA 10/20/17 350 CUSIP: 9BSPGK9	1.00000	10/13/2017	10/16/2017	$597.83	$305.14	$0.00	$0.00	$292.69	
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PUT DIA 02/17/17 197 CUSIP: 9BVCPB6	1.00000	01/30/2017	01/31/2017	$71.85	$101.14	$0.00	$0.00	($29.29)	
PUT QQQ 01/19/18 145 CUSIP: 9BVHXY0	1.00000	12/11/2017	12/12/2017	$90.84	$46.14	$0.00	$0.00	$44.70	

A B C

tasty tax review

Proceeds vs. Cost Basis

cost basis refers to what is **paid** (debit) for a trade.

proceeds refer to what is **received** (credit) from a trade.

Profits occur when **cost basis < proceeds**
&
Losses occur when **cost basis > proceeds**

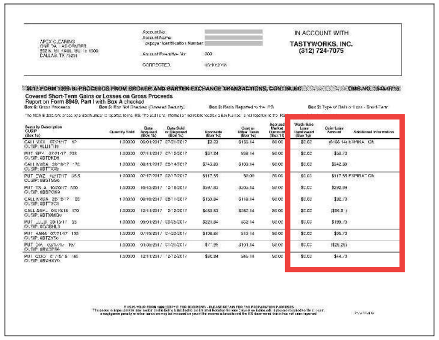
A **Proceeds**
The total amount of money received (credit) from a trade populates in this column. Proceeds include credits from short options and equity positions, as well as funds from a long equity or options sale. Furthermore, proceeds listed are net commissions and fees.

B **Cost or Other Basis**
The total amount of money paid (debit) from a trade display in this column. Cost basis includes debits for opening long equity or long options positions, as well as any amount paid to cover a short shares or options position. Additionally, the cost bases listed include commissions and fees.

C **Accrued Market Discount**
Typically affects fixed-income positions that are transferred to tastyworks and held at our clearing firm.

Proceeds from Broker and Barter Exchange (cont.)

The last three columns list if a transaction was subject to wash sale rules (a disallowed loss), a gain or a (loss), and any additional information in regards to the transaction.



2017 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS, CONTINUED — OMB NO. 1545-0715

Covered Short-Term Gains or Losses on Gross Proceeds
Report on **Form 8949, Part I** with **Box A** checked

Box 6: Gross Proceeds — **Box 5:** Box Not Checked (Covered Security) — **Box 3:** Basis Reported to the IRS — **Box 2:** Type of Gain or Loss - Short-Term

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.

Security Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
CALL VXX 07/21/17 12 CUSIP: 8LLHFH6	1.00000	06/01/2017	07/21/2017	$0.00	$166.14	$0.00	$0.00	($166.14)	EXPIRATION
PUT SPY 07/21/17 238 CUSIP: 9BTBKD8	1.00000	07/11/2017	07/12/2017	$97.84	$38.14	$0.00	$0.00	$59.70	
CALL NVDA 08/18/17 170 CUSIP: 9BTTXX9	1.00000	08/11/2017	08/14/2017	$745.83	$103.14	$0.00	$0.00	$642.69	
PUT EWZ 02/17/17 35.5 CUSIP: 9BSTSG6	1.00000	02/17/2017	02/17/2017	$117.85	$0.00	$0.00	$0.00	$117.85	EXPIRATION
PUT TSLA 10/20/17 350 CUSIP: 9BSPGK9	1.00000	10/13/2017	10/16/2017	$597.83	$305.14	$0.00	$0.00	$292.69	
CALL NVDA 08/18/17 195 CUSIP: 9BTTYC1	1.00000	08/10/2017	08/11/2017	$150.84	$118.14	$0.00	$0.00	$32.70	
CALL AAPL 01/19/18 170 CUSIP: 9BTWMQ0	1.00000	12/11/2017	12/12/2017	$485.83	$582.14	$0.00	$0.00	($96.31)	
PUT LULU 09/15/17 55 CUSIP: 9GCBHL3	1.00000	09/01/2017	09/05/2017	$221.84	$32.14	$0.00	$0.00	$189.70	
PUT BABA 07/21/17 150 CUSIP: 9BTZVS6	1.00000	07/19/2017	07/20/2017	$108.84	$13.14	$0.00	$0.00	$95.70	
PUT DIA 02/17/17 197 CUSIP: 9BVCPB6	1.00000	01/30/2017	01/31/2017	$71.85	$101.14	$0.00	$0.00	($29.29)	
PUT QQQ 01/19/18 145 CUSIP: 9BVHXY0	1.00000	12/11/2017	12/12/2017	$90.84	$46.14	$0.00	$0.00	$44.70	

A B C

tasty tax review

a brief word about wash sales ... again

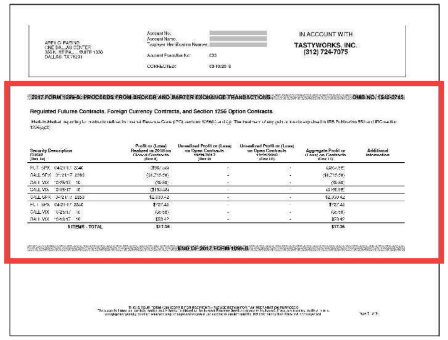
According to the IRS, a wash sale occurs when a position closes at a loss, and a "substantially identical" position reestablishes within 30 days or less. Wash sales apply to stock/ETF shares as well as equity options. For example, if you sell 100 shares of stock at a loss and then sell an in-the-money put on the same underlying after, then the loss taken on the stock position may be disallowed and populate in the wash sale column.

A — Wash Sale Loss Disallowed
Any losses that are disallowed populate in this column. Wash sales list as a whole number.

B — Gain/Loss Amount
Any transaction that results in a gain will list as a whole number, and a loss will list in parenthesis.

C — Additional Information
As illustrated, any additional information about a transaction will list in this column. Namely, a short sale for equity/ETF transactions, a position held to expiration (with a $0.00 proceeds or cost basis), a position subject to a merger, or if there was a correction made. You may quickly determine if your 1099 had a correction by referring to the document header at the top of each page.

Proceeds from Broker and Barter Exchange (cont.)



The last section of this portion are transactions in **Section 1256 options contracts**. Transactions in any cash-settled index options list in this section are subject to different tax rules than equity and equity options transactions.

This section **does not include** any transactions in **futures** or **options on futures**.

2017 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS — **OMB NO. 1545-0715**

Regulated Futures Contracts, Foreign Currency Contracts, and Section 1256 Option Contracts

"Mark-to-Market" reporting for contracts defined in Internal Revenue Code (IRC) sections 1256(b) and (g). The treatment of any gain or loss is explained in IRS Publication 550 and IRC section 1256(a)(3).

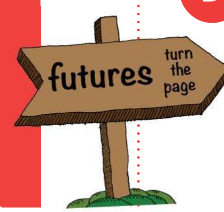
Security Description CUSIP (Box 1a)	Profit or (Loss) Realized in 2018 on Closed Contracts (Box 8)	Unrealized Profit or (Loss) on Open Contracts 12/31/2017 (Box 9)	Unrealized Profit or (Loss) on Open Contracts 12/31/2018 (Box 10)	Aggregate Profit or (Loss) on Contracts (Box 11)	Additional Information
PUT SPX 04/21/17 2340	($867.58)	-	-	($867.58)	
CALL SPX 04/21/17 2360	($1,715.58)	-	-	($1,715.58)	
CALL VIX 10/25/17 10	($9.58)	-	-	($9.58)	
CALL VIX 10/18/17 10	($195.58)	-	-	($195.58)	
CALL SPX 04/21/17 2350	$2,030.42	-	-	$2,030.42	
PUT SPX 04/21/17 2350	$727.42	-	-	$727.42	
CALL VIX 10/25/17 16	($5.58)	-	-	($5.58)	
CALL VIX 10/18/17 16	$53.42	-	-	$53.42	
8 ITEMS - TOTAL	**$17.36**			**$17.36**	
	A	B	C	D	

END OF 2017 FORM 1099-B

what are Section 1256 options contracts?

Did you trade any cash-settled index option such as SPX, NDX, VIX, etc? If so, then you traded a Section 1256 options contract. These options contracts are mark-to-market and have a special tax treatment. Since these products are mark-to-market, positions that are still open will affect your overall profit or (loss), hence B & C in the example above. **Your total profit or (loss) is subject to 60% long-term and 40% short-term capital gains.** As a result, these products do not report on Form 8949, but rather, the **total profit or (loss) from these products report on IRS Form 6781: Gains and Losses From Section 1256 Contracts and Straddles.**

Looking for your futures and options on futures transactions? Head to the next page.



A **Profit/Loss on Closed Contracts**

The profit or (loss) for each transaction displays in this column. The last line displays the net profit or (loss) from all closing transactions.

B **Unrealized Profit or (Loss) on Open Contracts - prior year**

The unrealized profit or loss from a position held from 2018 to 2019, based on mark-to-market.

C **Unrealized Profit or (Loss) on Open Contracts - current year**

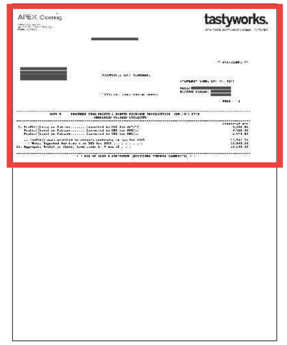
Positions opened in 2019 and not closed are mark-to-market in this column.

D **Aggregate Profit or (Loss) on Contracts**

The overall profit or (loss) of each contract.

Substitute 1099 Futures

Your 1099 for futures transactions are issued separately by StoneX via Apex Clearing, our futures commission merchant (FCM), and lists the total profit (or loss) based on all futures transactions, as well as open futures positions. This form closely mimics the Proceeds page from any Section 1256 Options Contracts transaction (previous page). **If you traded any futures or options on futures, then please visit our Tax Center to download and view this form.**



APEX | Clearing™
ONE DALLAS CENTER
350 N St. Paul Street Suite 1300
Dallas, TX 75201

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

```
                                                    ** NON-EXEMPT **
[redacted]
                SUBSTITUTE 1099 STATEMENT
                                        STATEMENT DATE: DEC 29, 2017
                                        PAYER
                                        ACCOUNT NUMBER: [redacted]
                1099B PROCEEDS: BROKER TRANS.
                                                        PAGE    1
-----------------------------------------------------------------------------------
      1099-B     PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS -OMB.1545-0715
                             -REGULATED FUTURES CONTRACTS-
-----------------------------------------------------------------------------------
                                                                Converted Amt.
 8.  Profit/(Loss) on Futures....... Converted to USD for OCT/17       8,866.82
     Profit/(Loss) on Futures....... Converted to USD for NOV/17       9,750.28
     Profit/(Loss) on Futures....... Converted to USD for DEC/17       2,074.80

     -- Profit/(Loss) Realized on Futures Contracts in USD for 2017   16,542.30
     *** Total Reported for Line 8 in USD for 2017 . . . . . . . .   16,542.30
11.  Aggregate Profit or (Loss) from lines 8, 9 and 10 . . .          16,542.30
-----------------------------------------------------------------------------------
           * * * END OF 1099-B STATEMENT (REGULATED FUTURES CONTRACTS) * * *
```

A

B

C

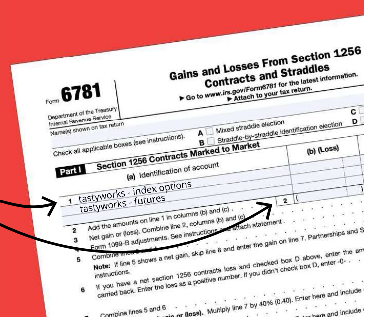
A **Account Information Header**
Customer account information displays in this area–including the account owner, address, and account number.

B **Box 8**
"8." denotes for Box 8: Profit or (loss) realized on closed contracts by month.
*Box 9 or 10 may appear if there were any open futures positions held from the previous year or into the new year due to mark-to-market.

C **Box 11**
The aggregate profit or (loss) from boxes 8 through 10 add up on this line.

a word about IRS Form 6781

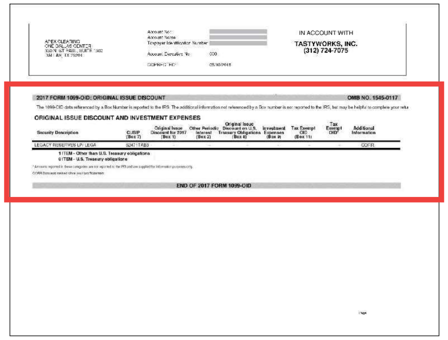
Now that you know your total profit or (loss) from futures trading and Section 1256 options contracts, the final step is to list the profit/loss from both forms. For example, this account (above) made $16,542.30 from futures trading and $17.36 (previous page) from trading Section 1256 options contracts. On Form 6781, enter $16,542.30 and $17.36 in Part I, then take the sum in Part II = $16,559.66. You may separately name each account if you'd like, as illustrated in the example.



Did you trade futures?
Visit our Tax Center to download this form

Form 1099-OID: Original Issue Discount

Any fixed income positions, such as bonds, that were transferred to tastyworks and held at our clearing firm may appear on this form. An activity that may produce this form includes, but is not limited to, bond interest payments, liquidations, or a zero-coupon bond held to maturity.



2017 FORM 1099-OID: ORIGINAL ISSUE DISCOUNT — OMB NO. 1545-0117

The 1099-OID 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 retu

ORIGINAL ISSUE DISCOUNT AND INVESTMENT EXPENSES

A

Security Description	CUSIP (Box 7)	Original Issue Discount for 2017 (Box 1)	Other Periodic Interest (Box 2)	Original Issue Discount on U.S. Treasury Obligations (Box 8)	Investment Expenses (Box 9)	Tax Exempt OID (Box 11)	Tax Exempt OID*	Additional Information
LEGACY RESERVES LP/ LEGA	52471TAB3	-	-	-	-	-	-	CORR,

1 ITEM - Other than U.S. Treasury obligations
0 ITEM - U.S. Treasury obligations

* Amounts reported in these categories are not reported to the IRS and are supplied for information purposes only.

CORR Data was revised since your last Statement.

END OF 2017 FORM 1099-OID

at least $10, but wait ...

Typically, if income in these products exceeds $10 or more, then it is reported to the IRS. On the other hand, if the account owner is subject to backup withholding (money withheld for taxes) and there is a cash payment from the original issue, then it reports to the IRS, and this form generates by default, regardless of the amount.

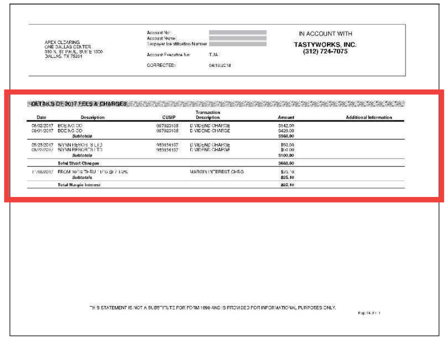
A Instrument

Any fixed income position held at our clearing firm that creates a taxable event will list on this form. One common reason for a 1099-OID issuance is a zero-coupon bond held to maturity.

*Did you not transfer any assets over to tastyworks? Then chances are, you most likely will not receive this form as part of your Consolidated 1099.

Details of Fees & Charges

Accounts that incurred any fees or charges outside the scope of order entry will list here. Common charges include, but are not limited to, dividend payments from holding an outright short share position or as a result of being assigned short shares from a short call(s), as well as margin debit interest.



DETAILS OF 2017 FEES & CHARGES

Date	Description	CUSIP	Transaction Description	Amount	Additional Information
06/02/2017	BOEING CO	097023105	DIVIDEND CHARGE	$142.00	
09/01/2017	BOEING CO	097023105	DIVIDEND CHARGE	$426.00	
	Subtotals			$568.00	
05/23/2017	WYNN RESORTS LTD	983134107	DIVIDEND CHARGE	$50.00	
08/22/2017	WYNN RESORTS LTD	983134107	DIVIDEND CHARGE	$50.00	
	Subtotals			$100.00	
	Total Short Charges			$668.00	
11/16/2017	FROM 10/16 THRU 11/15 @ 7 1/2%		MARGIN INTEREST CHRG	$25.10	
	Subtotals			$25.10	
	Total Margin Interest			$25.10	

A B

A **Fee & Charge Description**
The underlying involved with the charge lists here. Margin interest charges and the rate assessed displays in this column as well.

B **Transaction & Amount**
The description and amount of each charge lists in this column. Fees and charges include, but are not limited to, fund expenses, American Depository Receipt (ADR) fees, etc.

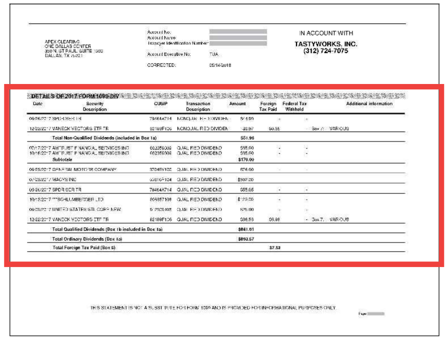
can I deduct commissions and fees?
Commissions and fees related to order entry are not listed because your proceeds and cost basis already include them. For example, if you bought a $50-strike call option for $1.00 ($100) and charged $1 in commissions and $0.20 in fees, then the cost basis would list as $101.20.

where are my hard-to-borrow (HTB) fees?
Were you short any hard-to-borrow stocks or ETFs and charged any HTB fees? If so, according to the IRS, HTB fees are considered a *nondeductible interest expense. As a result, any HTB fees incurred from a short stock or ETF position are not tax-deductible, and as a result, are not reported in your 1099.

*Source: IRS Publication 550: Investment Income and Expense

Form 1099-DIV: Dividend & Distribution Details

All dividends payments from long stock positions list here. Dividends classify as qualified or nonqualified. Dividend qualification base on the holding period of the long stock position.



DETAILS OF 2017 FORM 1099-DIV

Date	Security Description	CUSIP	Transaction Description	Amount	Foreign Tax Paid	Federal Tax Withheld	Additional information
06/26/2017	SPDR SER TR	78464A714	NONQUALIFIED DIVIDEN	$44.99	-	-	
12/22/2017	VANECK VECTORS ETF TR	92189F106	NONQUALIFIED DIVIDEN	$6.97	$0.55	-	Box 7: VARIOUS
	Total Non-Qualified Dividends (included in Box 1a)			**$51.96**			
07/17/2017	AMTRUST FINANCIAL SERVICES INC	032359309	QUALIFIED DIVIDEND	$85.00	-	-	
10/16/2017	AMTRUST FINANCIAL SERVICES INC	032359309	QUALIFIED DIVIDEND	$85.00	-	-	
	Subtotals			**$170.00**			
06/23/2017	GENERAL MOTORS COMPANY	37045V100	QUALIFIED DIVIDEND	$76.00	-	-	
07/03/2017	MACYS INC	55616P104	QUALIFIED DIVIDEND	$302.00	-	-	
06/26/2017	SPDR SER TR	78464A714	QUALIFIED DIVIDEND	$55.05	-	-	
10/13/2017	***SCHLUMBERGER LTD	806857108	QUALIFIED DIVIDEND	$125.00	-	-	
06/09/2017	UNITED STATES STL CORP NEW	912909108	QUALIFIED DIVIDEND	$25.00	-	-	
12/22/2017	VANECK VECTORS ETF TR	92189F106	QUALIFIED DIVIDEND	$88.56	$6.98	-	Box 7: VARIOUS
	Total Qualified Dividends (Box 1b included in Box 1a)			**$841.61**			
	Total Ordinary Dividends (Box 1a)			**$893.57**			
	Total Foreign Tax Paid (Box 6)				**$7.53**		

A B C D

A **Nonqualified Dividends**
Dividend payments subject to your ordinary income tax rate.

B **Qualified Dividends**
A dividend payment subject to a lower tax rate generally assessed on your long-term capital gains rate instead of your ordinary income tax rate.

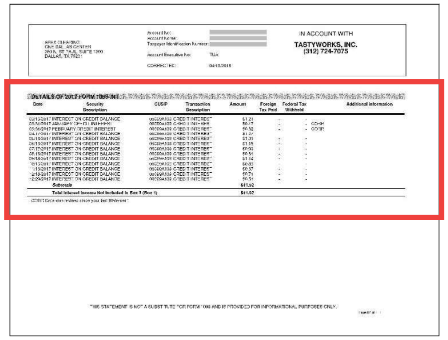
C **Withholdings**
Accounts subject to tax withholding or hold stock from a dividend-paying foreign entity may be subject to foreign taxes. Securities that may be subject to foreign taxes include ETFs that comprise of dividend-paying foreign stocks or an ADR (a foreign company that trades in the US).

D **Additional Information**
Any notes in regards to a dividend payments list in this column. In the example, "Various" refers to the foreign tax paid, which contains a portion of qualified and nonqualified dividend payments.

Qualified vs. Nonqualified
Are you wondering how dividends are classified? Just look at the ex-dividend date (ex-date). **Dividend payments are qualified when a portfolio maintains a long stock position 60 days before the ex-date and 60 days after the ex-date.** Any stock position held within these 121 days is considered nonqualified.

Form 1099-INT: Interest Income Details

Interest paid on unused credit balance or interest payments from U.S. Treasury Bills will list here. Credits from proceeds, such as a credit from a short option position or short stock position, do not get paid any interest since it is unrealized.



DETAILS OF 2017 FORM 1099-INT

Date	Security Description	CUSIP	Transaction Description	Amount	Foreign Tax Paid	Federal Tax Withheld	Additional information
03/16/2017	INTEREST ON CREDIT BALANCE	00099A109	CREDIT INTEREST	$1.21	-	-	
03/31/2017	JANUARY CREDIT INTEREST	00099A109	CREDIT INTEREST	$0.47	-	-	CORR
03/31/2017	FEBRUARY CREDIT INTEREST	00099A109	CREDIT INTEREST	$0.82	-	-	CORR
04/17/2017	INTEREST ON CREDIT BALANCE	00099A109	CREDIT INTEREST	$1.27	-	-	
05/16/2017	INTEREST ON CREDIT BALANCE	00099A109	CREDIT INTEREST	$1.31	-	-	
06/16/2017	INTEREST ON CREDIT BALANCE	00099A109	CREDIT INTEREST	$1.15	-	-	
07/17/2017	INTEREST ON CREDIT BALANCE	00099A109	CREDIT INTEREST	$0.90	-	-	
08/16/2017	INTEREST ON CREDIT BALANCE	00099A109	CREDIT INTEREST	$0.84	-	-	
09/18/2017	INTEREST ON CREDIT BALANCE	00099A109	CREDIT INTEREST	$1.14	-	-	
10/16/2017	INTEREST ON CREDIT BALANCE	00099A109	CREDIT INTEREST	$0.89	-	-	
11/16/2017	INTEREST ON CREDIT BALANCE	00099A109	CREDIT INTEREST	$0.67	-	-	
12/18/2017	INTEREST ON CREDIT BALANCE	00099A109	CREDIT INTEREST	$0.71	-	-	
12/29/2017	INTEREST ON CREDIT BALANCE	00099A109	CREDIT INTEREST	$0.54	-	-	
	Subtotals			$11.92			
	Total Interest Income Not Included in Box 3 (Box 1)			$11.92			

CORR Data was revised since your last Statement.

A B C

A Interest Payment
The date of each interest payment and amount. Some examples of interest payments include interest on idle cash, as well as interest payments from U.S. Treasury Bills.

B Withholdings
Similar to dividend payments, an account subject to federal tax withholding will list the withheld amount in this column.

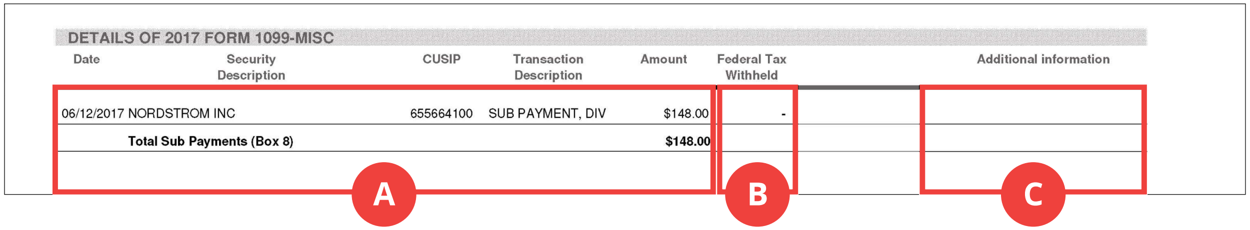
C Additional Information
Typically, if a correction was issued, then it will annotate in this column, as illustrated.

tasty tax review

$10 or more
Did your Consolidated 1099 not include a 1099-INT, although your account received interest? Only accounts that receive at least $10 in interest income will receive a 1099-INT. However, if you need to report any interest income, then you may refer to your monthly account statements.

Form 1099-MISC: Miscellaneous Income Details

Transactions that potentially classify as miscellaneous income include, but are not limited to, dividend payments from long stock/ ETF positions in a margin account lent out by our clearing firm, royalty payments from Limited Partnerships (LPs), etc.



DETAILS OF 2017 FORM 1099-MISC

Date	Security Description	CUSIP	Transaction Description	Amount	Federal Tax Withheld	Additional information
06/12/2017	NORDSTROM INC	655664100	SUB PAYMENT, DIV	$148.00	-	
	Total Sub Payments (Box 8)			$148.00		

A Income Type

Each box, or income type, will separately list on this form. In the example, a margin account received a dividend payment from a long stock position that was lent out (for a short sale) by our clearing firm. Share lending only applies to margin accounts and not to cash accounts.

B Federal Tax Withheld

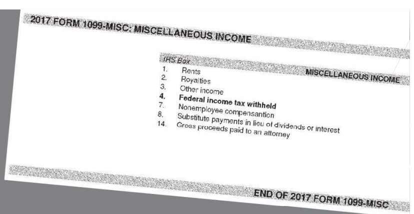
If applicable, an account subject to federal tax withholding will list the withheld amount in this column.

C Additional Information

Typically, if a correction was issued, then it will annotate in this column.

summary information

If your Consolidated 1099 included a 1099-MISC, then keep a lookout for a summarized section, as illustrated on the right. Summary info will appear after Proceeds From Broker and Barter Exchange Transaction section. This section closely resembles the Consolidated Forms section, located after the table of contents.



2017 FORM 1099-MISC: MISCELLANEOUS INCOME

IRS Box	MISCELLANEOUS INCOME
1.	Rents
2.	Royalties
3.	Other income
4.	Federal income tax withheld
7.	Nonemployee compensation
8.	Substitute payments in lieu of dividends or interest
14.	Gross proceeds paid to an attorney

END OF 2017 FORM 1099-MISC

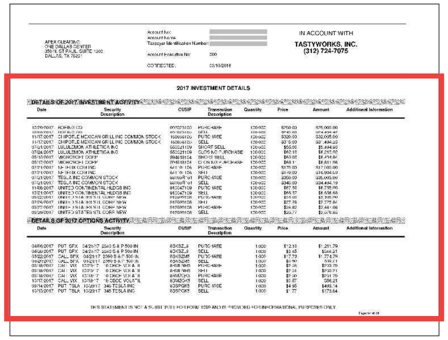
Referral Credits

Did you receive any cash awards or prizes by spreading some tastyworks love to your friends, loved ones, neighbors, or followers by sharing your referral code? Prizes and cash awards totaling $600 or more will result in a 1099-MISC issued directly from tastyworks.

Investment Details

Following your included 1099s (if applicable), your securities trading activity will list in date order.

First, stock activity is listed then options activity. Based on the amount of trading you do, this section may span over many pages. This section is strictly informational.



2017 INVESTMENT DETAILS

A

DETAILS OF 2017 INVESTMENT ACTIVITY

Date	Security Description	CUSIP	Transaction Description	Quantity	Price	Amount	Additional Information
10/20/2017	BOEING CO	097023105	PURCHASE	100.000	$250.00	$25,005.00	
10/20/2017	BOEING CO	097023105	SELL	100.000	$245.00	$24,494.42	
11/17/2017	CHIPOTLE MEXICAN GRILL INC COMMON STOCK	169656105	PURCHASE	100.000	$320.00	$32,005.00	
11/17/2017	CHIPOTLE MEXICAN GRILL INC COMMON STOCK	169656105	SELL	100.000	$315.00	$31,494.26	
07/21/2017	LULULEMON ATHLETICA INC	550021109	SHORT SELL	100.000	$55.00	$5,494.86	
07/24/2017	LULULEMON ATHLETICA INC	550021109	CLOSING PURCHASE	100.000	$62.10	$6,210.02	
05/15/2017	MICROSOFT CORP	594918104	SHORT SELL	100.000	$65.00	$6,494.84	
05/17/2017	MICROSOFT CORP	594918104	CLOSING PURCHASE	100.000	$68.11	$6,811.08	
07/21/2017	NETFLIX COM INC	64110L106	PURCHASE	100.000	$175.00	$17,505.00	
07/21/2017	NETFLIX COM INC	64110L106	SELL	100.000	$170.00	$16,994.59	
07/21/2017	TESLA INC COMMON STOCK	88160R101	PURCHASE	100.000	$350.00	$35,005.00	
07/21/2017	TESLA INC COMMON STOCK	88160R101	SELL	100.000	$345.00	$34,494.19	
11/08/2017	UNITED CONTINENTAL HLDGS INC	910047109	PURCHASE	100.000	$67.50	$6,755.00	
12/21/2017	UNITED CONTINENTAL HLDGS INC	910047109	SELL	100.000	$66.57	$6,656.68	
05/22/2017	UNITED STATES STL CORP NEW	912909108	PURCHASE	100.000	$31.00	$3,105.00	
07/26/2017	UNITED STATES STL CORP NEW	912909108	SELL	100.000	$27.29	$2,728.84	
09/27/2017	UNITED STATES STL CORP NEW	912909108	PURCHASE	100.000	$24.82	$2,487.08	
09/29/2017	UNITED STATES STL CORP NEW	912909108	SELL	100.000	$25.77	$2,576.85	

B

DETAILS OF 2017 OPTIONS ACTIVITY

Date	Security Description	CUSIP	Transaction Description	Quantity	Price	Amount	Additional Information
04/06/2017	PUT SPX 04/21/17 2340 S & P 500 IN	8BKSZL9	PURCHASE	1.000	$12.10	$1,211.79	
04/20/2017	PUT SPX 04/21/17 2340 S & P 500 IN	8BKSZL9	SELL	1.000	$3.45	$344.21	
03/22/2017	CALL SPX 04/21/17 2360 S & P 500 IN	8BKSZM5	PURCHASE	1.000	$17.73	$1,774.79	
04/20/2017	CALL SPX 04/21/17 2360 S & P 500 IN	8BKSZM5	SELL	1.000	$0.60	$59.21	
09/18/2017	CALL VIX 10/25/17 10 CBOE VOLATIL	8BMLNM3	PURCHASE	1.000	$2.58	$259.79	
09/18/2017	CALL VIX 10/25/17 10 CBOE VOLATIL	8BMLNM3	SELL	1.000	$2.51	$250.21	
09/18/2017	CALL VIX 10/18/17 10 CBOE VOLATIL	8BMZQK5	PURCHASE	1.000	$2.50	$251.79	
10/17/2017	CALL VIX 10/18/17 10 CBOE VOLATIL	8BMZQK5	SELL	1.000	$0.57	$56.21	
09/14/2017	PUT TSLA 10/20/17 345 TESLA INC	8BSPGK5	PURCHASE	1.000	$4.95	$496.14	
10/13/2017	PUT TSLA 10/20/17 345 TESLA INC	8BSPGK5	SELL	1.000	$1.77	$176.84	

THIS STATEMENT IS NOT A SUBSTITUTE FOR FORM 1099 AND IS PROVIDED FOR INFORMATIONAL PURPOSES ONLY.

tasty tax review

the amount listed is net commissions and fees

Much like on your 1099-B: Proceeds from Broker and Barter Exchange, all amounts listed in the investment details already account for commissions and fees. As the footnote mentions, this section is solely informational and not a substitute for your 1099-B.

A Stock Activity

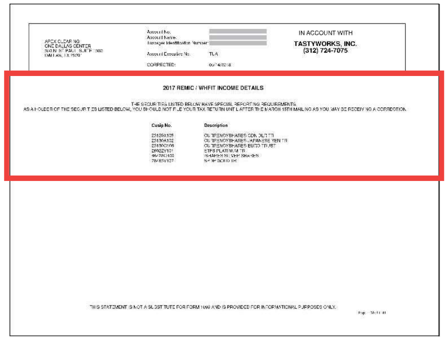
Stock transactions that result in a closing trade list in this section, including assignments and exercises. Beneath the Transaction Description column, "Purchase" and "Sell" denote long stock positions, while "Short Sell" and "Closing Purchase" indicate short stock positions.

B Options Activity

Options activity that results in a closing trade list after stock transactions. Based on the number of stock trades, this section may be on a later page. Whether an options trade was a single-leg or multi-leg strategy, each leg will have a line item. Unlike stock transactions, the transaction description will only list each trade as a "Purchase" or "Sell."

REMIC/WHFIT Income Details (part 1 of 2)

This section comprises of two parts. All positions subject to additional reporting lists in this section. All positions listed here may not include an NMWHFIT Additional Written Statement following this section. Please be aware of any special reporting requirements listed in this section since additional material may be sent to you to complete your tax filing.



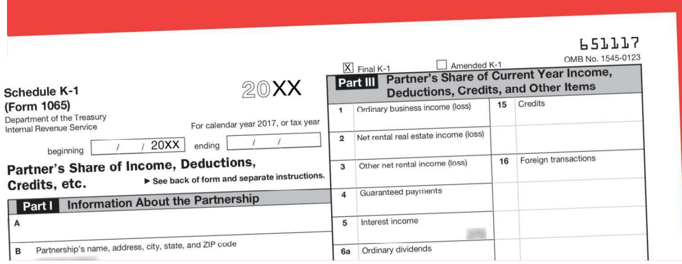
2017 REMIC / WHFIT INCOME DETAILS

THE SECURITIES LISTED BELOW HAVE SPECIAL REPORTING REQUIREMENTS.
AS A HOLDER OF THE SECURITIES LISTED BELOW, YOU SHOULD NOT FILE YOUR TAX RETURN UNTIL AFTER THE MARCH 15TH MAILING AS YOU MAY BE RECEIVING A CORRECTION.

A

Cusip No.	Description
23129X105	CURRENCYSHARES CDN DLR TR
23130A102	CURRENCYSHARES JAPANESE YEN TR
23130C108	CURRENCYSHARES EURO TRUST
26922V101	ETFS PLATINUM TR
46428Q109	ISHARES SILVER SHARES
78463V107	SPDR GOLD TR

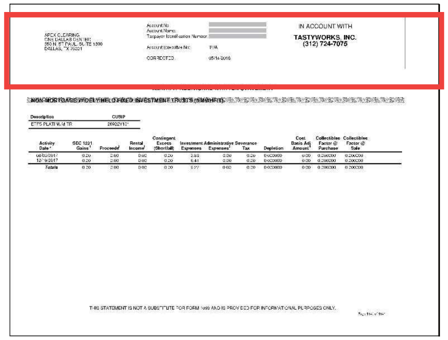
before you file...
If your account held any position(s) subject to special tax reporting, then please be aware that you may not be able to properly file until the investment company responsible for the fund issues any tax documents by mail. For example, some investment companies may mail you a Schedule K-1, so you may want to consider waiting until all materials have been sent and accounted for before filing your taxes.



A REMIC/WHFIT Income Details
Real Estate Mortgage Investment Conduit & Widely Held Fixed Investment Trust (REMIC/WHFIT) Details list all the positions subject to special tax reporting. Positions affected, but are not limited to, are commodity or currency-based ETFs, ETNs, etc. This page is presented before the additional written statement.

Form 1099-B

Non-Mortgage Widely Held Fixed Investment Trusts, or NMWHFIT for short, primarily lists any positions, such as some ETFs that are subject to special reporting requirements list here. This section comprises of two parts.



NMWHFIT ADDITIONAL WRITTEN STATEMENT

NON-MORTGAGE WIDELY HELD FIXED INVESTMENT TRUSTS (NMWHFIT)

A

Description	CUSIP
ETFS PLATINUM TR	26922V101

Activity Date *	SEC 1231 Gains [1]	Proceeds[2]	Rental Income[1]	Contingent Excess (Shortfall)	Investment Expenses	Administrative Expenses[3]	Severance Tax	Depletion	Cost Basis Adj Amount[4]	Collectibles Factor @ Purchase	Collectibles Factor @ Sale
08/03/2017	0.00	0.00	0.00	0.00	2.86	0.00	0.00	0.000000	0.00	0.000000	0.000000
12/19/2017	0.00	0.00	0.00	0.00	6.41	0.00	0.00	0.000000	0.00	0.000000	0.000000
Totals	0.00	0.00	0.00	0.00	9.27	0.00	0.00	0.000000	0.00	0.000000	0.000000

A **Account Information Header**

Form 1099-B

Your 1099 for cryptocurrency transactions are issued separately by ZeroHash, our cryptocurrency custodian, and lists your transactions based on short-term or long-term holding period.

Copy B for Recipient Information

[redacted]

A Recipient's Tax ID:[redacted] Payer's TIN:[redacted]

Box 5: Box Checked (Non-covered Security)

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.

Section 1 - Short-Term Capital Gains and Losses - Assets Held One Year or Less (Box 2)

B

Description of Property (Box 1a)	Date Acquired	Date Disposed (Box 1c)	Proceeds (Box 1d)	Cost Basis	Federal Income Tax Withheld
13192.3725 GUSD	01/13/2020	01/15/2020	13,192.38	13,192.34	
0.5 BTC	01/15/2020	05/01/2020	4,406.61	4,397.46	
0.5 BTC	*	05/02/2020	4,459.53	*	
1 BTC	01/15/2020	05/02/2020	8,919.05	8,794.92	
1149.34 GUSD	05/02/2020	06/15/2020	1,149.35	1,149.34	
7 ETH	05/01/2020	07/01/2020	1,600.97	1,483.16	
5 ETH	06/15/2020	07/01/2020	1,143.55	1,149.35	
2 GUSD	10/01/2020	12/02/2020	2.00	2.00	
0.00797651 BTC	*	12/07/2020	151.83	*	
4691.95002 GUSD	10/01/2020	12/07/2020	4,691.95	4,691.95	
0.00010365 BTC	12/02/2020	12/07/2020	1.97	2.00	
0.24191984 BTC	12/07/2020	12/07/2020	4,604.77	4,691.95	
0.99202349 BTC	10/03/2020	12/07/2020	18,928.59	16,356.23	
0.00797651 BTC	11/23/2020	12/07/2020	152.20	164.30	
4691.95002 GUSD	12/07/2020	12/07/2020	4,691.95	4,758.57	
14121.70892 GUSD	12/07/2020	12/07/2020	14,121.71	14,322.22	
C Totals			$82,218.41	$75,155.79	

* - Asset was transferred onto exchange. Cost basis obtainment originated off exchange.

This is important tax information and is being furnished to the IRS. 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.

A **Account Information Header**

B **Itemized Cryptocurrency Cost Basis and Proceeds**

C **Total Cost Basis and Proceeds**