

May 1, 2020 - May 31, 2020

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ACCOUNT NUMBER [REDACTED]-13 TUA

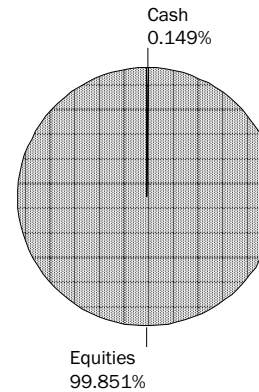
▶ ACCOUNT SUMMARY

| | <u>OPENING BALANCE</u> | <u>CLOSING BALANCE</u> |
|------------------------------|------------------------|------------------------|
| Cash account | \$3.13 | \$7.38 |
| NET ACCOUNT BALANCE | 3.13 | 7.38 |
| Securities | 4,807.73 | 4,944.42 |
| TOTAL PRICED PORTFOLIO | 4,807.73 | 4,944.42 |
| Total Equity Holdings | \$4,810.86 | \$4,951.80 |

▶ INCOME AND EXPENSE SUMMARY

| | <u>THIS PERIOD</u> | <u>YEAR TO DATE</u> |
|-----------------------|--------------------|---------------------|
| Taxable dividends | \$3.18 | \$3.18 |
| Credit interest | \$0.02 | \$0.10 |
| Non-resident tax paid | -0.48 | -0.48 |

▶ PORTFOLIO EQUITY ALLOCATION



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

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

IMPORTANT INFORMATION

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

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

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

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

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

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

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

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

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

NOTICE TO CUSTOMERS

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

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

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

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

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

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

Apex is a member of the Financial Industry Regulatory Authority, Inc. ("FINRA") and we are required to inform you of the availability of the FINRA Investor Brochure, which contains information on FINRA BrokerCheck. You may contact FINRA at 800-289-9999 or at their website at www.finra.org.

Apex carries your account and acts as your custodian for funds and securities deposited with us directly by you, through your brokerage firm or bank or as a result of transactions we process for your account. Any suspected inaccuracy or discrepancy in your account statement must be promptly reported to both your brokerage firm or bank (not to your individual broker or agent) and Apex. In order to protect your rights, including your right to SIPC coverage, please confirm any oral communication in writing and include your brokerage account number. General inquiries or concerns regarding your account should be directed to your brokerage firm or bank. Account positions and balance inquiries or concerns should be directed to Apex by telephone at 214-765-1009.

ACCOUNT SUMMARY:

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

INCOME AND EXPENSE SUMMARY:

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

PORTFOLIO EQUITY ALLOCATION:

The Pie Chart is an estimate for illustrative purposes only.

PORTFOLIO SUMMARY:

Lists all securities held in your account.

MARKET VALUE:

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

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

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

ESTAMATED ANNUAL INCOME

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

OPEN ORDERS:

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

MONEY MARKET ACTIVITY:

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

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

REALIZED GAIN/LOSS DETAIL AND PORTFOLIO SUMMARY SECTIONS:

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

Order Routing:

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

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

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

May 1, 2020 - May 31, 2020

ACCOUNT NUMBER [REDACTED]-13 TUA



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

▶ PORTFOLIO SUMMARY

| DESCRIPTION | SYMBOL/ CUSIP | ACCOUNT TYPE | QUANTITY | PRICE | MARKET VALUE | LAST PERIOD'S MARKET VALUE | % CHANGE | EST. ANNUAL INCOME | % OF TOTAL PORTFOLIO |
|--|------------------|-----------------|----------|---------|-----------------|-------------------------------|----------|-----------------------|-------------------------|
| EQUITIES / OPTIONS | | | | | | | | | |
| AMERICAN AIRLINES GROUP INC | AAL | C | 14 | \$10.50 | \$147.00 | \$168.14 | -13% | | 2.969% |
| BAYTEX ENERGY CORP | BTE | C | 500 | 0.309 | 154.50 | 162.50 | -5 | | 3.120 |
| BAOZUN INC AMERICAN DEPOSITARY SHARES | BZUN | C | 4 | 26.49 | 105.96 | 127.36 | -17 | | 2.140 |
| CITIGROUP INC COM | C | C | 3 | 47.91 | 143.73 | 145.68 | -1 | 6 | 2.903 |
| CARNIVAL CORP COMMON PAIRED STOCK | CCL | C | 12 | 15.74 | 188.88 | 190.80 | -1 | | 3.814 |
| DELTA AIR LINES INC DEL COM | DAL | C | 6 | 25.21 | 151.26 | 155.46 | -3 | | 3.055 |
| DAVE & BUSTERS ENTERTAINMENT INC COMMON STOCK | PLAY | C | 11 | 13.19 | 145.09 | 161.04 | -10 | | 2.930 |
| WALT DISNEY CO | DIS | C | 1 | 117.30 | 117.30 | 108.15 | 8 | | 2.369 |
| ELDORADO RESORTS INC COM | ERI | C | 7 | 35.46 | 248.22 | 150.08 | 65 | | 5.013 |
| EURONAV NV | EURN | C | 38 | 10.12 | 384.56 | | N/A | 59 | 7.766 |
| FOOT LOCKER INC | FL | C | 6 | 27.70 | 166.20 | 153.78 | 8 | | 3.356 |
| FLOOR & DECOR HOLDINGS INC CLASS A COMMON STOCK | FND | C | 4 | 52.00 | 208.00 | 169.60 | 23 | | 4.200 |
| GENERAL ELECTRIC COMPANY COM | GE | C | 28 | 6.57 | 183.96 | 190.40 | -3 | 1 | 3.715 |
| IQIYI INC AMERICAN DEPOSITARY SHARES | IQ | C | 9 | 16.59 | 149.31 | 152.73 | -2 | | 3.015 |
| HARLEY DAVIDSON INC | HOG | C | 7 | 21.34 | 149.38 | 152.81 | -2 | 1 | 3.017 |

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▶ PORTFOLIO SUMMARY (CONTINUED)

| DESCRIPTION | SYMBOL/ CUSIP | ACCOUNT TYPE | QUANTITY | PRICE | MARKET VALUE | LAST PERIOD'S MARKET VALUE | % CHANGE | EST. ANNUAL INCOME | % OF TOTAL PORTFOLIO |
|---|------------------|-----------------|----------|-------|-----------------|-------------------------------|----------|-----------------------|-------------------------|
| EQUITIES / OPTIONS (continued) | | | | | | | | | |
| HELMERICH & PAYNE INC | HP | C | 8 | 20.13 | 161.04 | 158.16 | 2 | 23 | 3.252 |
| JEFFERIES FINANCIAL GROUP INC COMMON STOCK | JEF | C | 11 | 14.65 | 161.15 | 150.92 | 7 | 7 | 3.254 |
| KOHL'S CORP | KSS | C | 8 | 19.22 | 153.76 | 147.68 | 4 | | 3.105 |
| LAS VEGAS SANDS CORP | LVS | C | 3 | 47.94 | 143.82 | 144.06 | <-1 | | 2.904 |
| LA Z BOY INC COM | LZB | C | 6 | 25.72 | 154.32 | 140.70 | 10 | 3 | 3.116 |
| MGM RESORTS INTERNATIONAL | MGM | C | 10 | 17.18 | 171.80 | 168.30 | 2 | | 3.469 |
| MACYS INC | M | C | 25 | 6.36 | 159.00 | 146.50 | 9 | | 3.211 |
| NCR CORP NEW | NCR | C | 7 | 18.05 | 126.35 | 143.64 | -12 | | 2.552 |
| NOVAN INC COM | NOVN | C | 390 | 0.403 | 157.17 | 144.69 | 9 | | 3.174 |
| ONEOK INC | OKE | C | 5 | 36.69 | 183.45 | 149.65 | 23 | 19 | 3.705 |
| REALREAL INC (THE) COMMON STOCK | REAL | C | 12 | 13.41 | 160.92 | 140.88 | 14 | | 3.250 |
| TAPESTRY INC COMMON STOCK | TPR | C | 9 | 13.60 | 122.40 | 133.92 | -9 | | 2.472 |
| TEXTRON INC | TXT | C | 6 | 30.97 | 185.82 | 158.16 | 17 | | 3.753 |
| UNDER ARMOUR INC CL A | UAA | C | 15 | 8.75 | 131.25 | 156.30 | -16 | | 2.651 |

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▶ PORTFOLIO SUMMARY (CONTINUED)

| DESCRIPTION | SYMBOL/ CUSIP | ACCOUNT TYPE | QUANTITY | PRICE | MARKET VALUE | LAST PERIOD'S MARKET VALUE | % CHANGE | EST. ANNUAL INCOME | % OF TOTAL PORTFOLIO |
|---|------------------|-----------------|----------|-------|-------------------|-------------------------------|----------|-----------------------|-------------------------|
| EQUITIES / OPTIONS (continued) | | | | | | | | | |
| WALGREEN BOOTS ALLIANCE INC COM | WBA | C | 3 | 42.94 | 128.82 | 129.87 | -1 | 5 | 2.601 |
| Total Equities | | | | | \$4,944.42 | | | \$124 | 99.851% |
| Total Cash (Net Portfolio Balance) | | | | | \$7.38 | | | | 0.149% |
| TOTAL PRICED PORTFOLIO | | | | | \$4,951.80 | | | \$124 | |

▶ ACCOUNT ACTIVITY

| TRANSACTION | DATE | ACCOUNT TYPE | DESCRIPTION | QUANTITY | PRICE | DEBIT | CREDIT |
|--------------------------------|----------|-----------------|--|----------|---------|----------|--------|
| BUY / SELL TRANSACTIONS | | | | | | | |
| BOUGHT | 05/04/20 | C | EURONAV NV UNSOLICITED CUSIP: B38564108 | 13 | \$10.83 | \$140.80 | |
| BOUGHT | 05/04/20 | C | EURONAV NV UNSOLICITED CUSIP: B38564108 | 25 | 10.82 | 270.52 | |
| SOLD | 05/04/20 | C | CHESAPEAKE ENERGY CORPORATION COMMON STOCK UNSOLICITED CUSIP: 165167743 | 5 | 18.06 | | 90.28 |
| SOLD | 05/04/20 | C | FORD MOTOR CO PAR \$0.01 UNSOLICITED CUSIP: 345370860 | 28 | 5.0822 | | 142.26 |

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

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▶ ACCOUNT ACTIVITY (CONTINUED)

| TRANSACTION | DATE | ACCOUNT TYPE | DESCRIPTION | QUANTITY | PRICE | DEBIT | CREDIT |
|--|----------|--------------|--|----------|------------|-----------------|-----------------|
| BUY / SELL TRANSACTIONS (continued) | | | | | | | |
| SOLD | 05/04/20 | C | OASIS PETROLEUM INC COMMON STOCK UNSOLICITED CUSIP: 674215108 | 250 | 0.7222 | | 180.31 |
| Total Buy / Sell Transactions | | | | | | \$411.32 | \$412.85 |
| DIVIDENDS AND INTEREST | | | | | | | |
| INTEREST | 05/18/20 | C | INTEREST ON CREDIT BALANCE AT 0.010% 04/16 THRU 05/15 CUSIP: 00099A109 | | | | \$0.02 |
| DIVIDEND | 05/22/20 | C | CITIGROUP INC COM CASH DIV ON 3 SHS REC 05/04/20 PAY 05/22/20 NON-RES TAX WITHHELD CUSIP: 172967424 | | 0.51 WH | 0.23 | 1.53 |
| DIVIDEND | 05/29/20 | C | JEFFERIES FINANCIAL GROUP INC COMMON STOCK CASH DIV ON 11 SHS REC 05/18/20 PAY 05/29/20 NON-RES TAX WITHHELD CUSIP: 47233W109 | | 0.15 WH | 0.25 | 1.65 |
| Total Dividends And Interest | | | | | | \$0.48 | \$3.20 |