

**FINANCIAL INDUSTRY REGULATORY AUTHORITY
LETTER OF ACCEPTANCE, WAIVER, AND CONSENT
NO. 2019060648401**

TO: Department of Enforcement
Financial Industry Regulatory Authority (FINRA)

RE: Joseph Gunnar & Co. LLC (Respondent)
Member Firm
CRD No. 24795

Pursuant to FINRA Rule 9216, Respondent Joseph Gunnar & Co. LLC submits this Letter of Acceptance, Waiver, and Consent (AWC) for the purpose of proposing a settlement of the alleged rule violations described below. This AWC is submitted on the condition that, if accepted, FINRA will not bring any future actions against Respondent alleging violations based on the same factual findings described in this AWC.

I.

ACCEPTANCE AND CONSENT

- A. Respondent accepts and consents to the following findings by FINRA without admitting or denying them:

BACKGROUND

Joseph Gunnar has been a FINRA member since March 1990. The firm is headquartered in Uniondale, New York, has two branch offices, and approximately 50 registered representatives. The firm engages in a general securities business.¹

OVERVIEW

From August 2018 to September 2022, Joseph Gunnar charged a minimum commission of \$100 on equity transactions, which resulted in the firm charging an unfair commission on 1,683 equity transactions. During the same period, Joseph Gunnar also failed to establish and maintain a supervisory system reasonably designed to achieve compliance with FINRA Rule 2121. As a result, Joseph Gunnar violated FINRA Rules 2121, 3110, and 2010.

In addition, from June 2020 to August 2023, Joseph Gunnar failed to file offering documents with FINRA in connection with 14 private placements, in violation of FINRA Rules 5123 and 2010.

¹ For more information about the firm, including prior regulatory events, visit BrokerCheck® at www.finra.org/brokercheck.

FACTS AND VIOLATIVE CONDUCT

This matter originated from FINRA cycle examinations of Joseph Gunnar.

Joseph Gunnar charged unfair commissions on 1,683 equity transactions and failed to establish and maintain a supervisory system reasonably designed to monitor for unfair commissions.

FINRA Rule 3110(a) requires a member firm to establish and maintain a system to supervise the activities of each associated person that is reasonably designed to achieve compliance with applicable securities laws and regulations and with applicable FINRA rules. FINRA Rule 3110(b) requires a member firm to establish, maintain, and enforce written procedures to supervise the types of business in which it engages and the activities of its associated persons that are reasonably designed to achieve compliance with applicable securities laws and regulations and with applicable FINRA rules.

FINRA Rule 2121 provides that:

[If a member] acts as agent for [its] customer in any [securities] transaction, [the member] shall not charge [its] customer more than a fair commission or service charge, taking into consideration all relevant circumstances[.]

FINRA Rule 2121 Supplementary Material .01 (Rule 2121.01) sets a guideline of five percent for determining whether a commission is unfair or unreasonable. However, the “5% Policy” is a guide, not a rule. A commission pattern of five percent or even less may be considered unfair or unreasonable.

The percentage of the commission is only one of the relevant factors to be considered in determining fairness. Rule 2121.01 identifies seven other factors that members should consider in determining the fairness of a commission, including the type of security involved, the availability of the security, the price of the security, and the size of the transaction.

FINRA Rule 2010 provides that “[a] member, in the conduct of its business, shall observe high standards of commercial honor and just and equitable principles of trade.” A violation of FINRA Rules 3110 or 2121 also constitutes a violation of FINRA Rule 2010.

From August 2018 to September 2022, Joseph Gunnar charged a minimum commission of \$100 on equity transactions, in addition to a handling fee.² For example, one customer sold 45 shares of New York Community Bancorp Inc., a liquid NYSE-traded stock, for a principal amount of \$627.91 and was charged a \$100 commission, equating to 15.9% of the principal amount. As a result of the minimum commission, Joseph Gunnar charged \$69,898.17 in unfair commissions, in a total of 1,683 equity transactions in 331 customer

² As of September 2022, the firm ceased charging a \$100 minimum commission on equity transactions.

accounts. The commissions charged ranged from 5.01% to 55.56% of the transactions' principal amount.

In addition, Joseph Gunnar failed to establish a supervisory system reasonably designed to achieve compliance with FINRA Rule 2121. The firm's supervisory system was designed to flag for review any transaction where the commission exceeded 2.4% of the transaction's principal amount. Although the firm's written procedures required supervisors to consider the factors set forth in Rule 2121.01 when determining whether the commission on any given transaction was fair, supervisors often did not do so. Instead, where the commission was equal to or less than the firm's \$100 minimum commission, the firm's supervisors routinely approved transactions without considering those factors. Consequently, the firm never cancelled or reduced a commission based on the factors enumerated in Rule 2121.01 for a transaction where the firm charged the \$100 minimum commission, even though in many instances (as identified above) the total commission exceeded 5% of the transaction's principal amount.

Therefore, Joseph Gunnar violated FINRA Rules 2121, 3110, and 2010.

Joseph Gunnar failed to file private-placement offering documents with FINRA.

FINRA Rule 5123(a) requires each member that sells a private placement to "submit to FINRA . . . a copy of any private placement memorandum, term sheet or other offering document . . . used in connection with such sale within 15 calendar days of the date of first sale." FINRA Regulatory Notice 12-40 explains that Rule 5123 was implemented to "enhance oversight and investor protection" and provide FINRA with "more timely and complete information about the private placement activities of firms on behalf of other issuers." A violation of FINRA Rule 5123 is also a violation of FINRA Rule 2010.

From June 2020 to August 2023, Joseph Gunnar failed to make required filings with FINRA pursuant to FINRA Rule 5123 in connection with 14 private placements sold by the firm.

Therefore, Joseph Gunnar violated FINRA Rules 5123 and 2010.

B. Respondent also consents to the imposition of the following sanctions:

- a censure;
- a \$65,000 fine; and
- restitution of \$69,898.17 plus interest as described below.

Respondent agrees to pay the monetary sanctions upon notice that this AWC has been accepted and that such payment is due and payable. Respondent has submitted an Election of Payment form showing the method by which it proposes to pay the fine imposed.

Respondent specifically and voluntarily waives any right to claim an inability to pay, now or at any time after the execution of this AWC, the monetary sanctions imposed in this matter.

Restitution is ordered to be paid to the customers listed on Attachment A to this AWC (Eligible Customers) in the total amount of \$69,898.17, plus interest at the rate set forth in Section 6621(a)(2) of the Internal Revenue Code, 26 U.S.C. § 6621(a)(2), from the date of the relevant transaction until May 15, 2024.

A registered principal on behalf of Respondent shall submit satisfactory proof of payment of restitution and interest (separately specifying the date and amount of each paid to each Eligible Customer) or of reasonable and documented efforts undertaken to effect restitution. Such proof shall be submitted by email to EnforcementNotice@FINRA.org from a work-related account of the registered principal of Respondent. The email must identify Respondent and the case number and include a copy of the check, money order, or other method of payment. This proof shall be provided by email to EnforcementNotice@FINRA.org no later than 120 days after the date of the notice of acceptance of the AWC.

The restitution amount plus interest to be paid to each Eligible Customer shall be treated by the Respondent as the Eligible Customer's property for purposes of state escheatment, unclaimed property, abandoned property, and similar laws. If after reasonable and documented efforts undertaken to effect restitution Respondent is unable to pay all Eligible Customers within 120 days after the date of the notice of acceptance of the AWC, Respondent shall submit to FINRA in the manner described above a list of the unpaid Eligible Customers and a description of Respondent's plan, not unacceptable to FINRA, to comply with the applicable escheatment, unclaimed property, abandoned property, or similar laws for each such Eligible Customer.

The imposition of a restitution order or any other monetary sanctions in this AWC, and the timing of such ordered payments, does not preclude customers from pursuing their own actions to obtain restitution or other remedies.

Restitution payments to customers shall be preceded or accompanied by a letter, not unacceptable to FINRA, describing the reason for the payment and the fact that the payment is being made pursuant to a settlement with FINRA and as a term of this AWC.

The sanctions imposed in this AWC shall be effective on a date set by FINRA.

II.

WAIVER OF PROCEDURAL RIGHTS

Respondent specifically and voluntarily waives the following rights granted under FINRA's Code of Procedure:

- A. To have a complaint issued specifying the allegations against it;

- B. To be notified of the complaint and have the opportunity to answer the allegations in writing;
- C. To defend against the allegations in a disciplinary hearing before a hearing panel, to have a written record of the hearing made, and to have a written decision issued; and
- D. To appeal any such decision to the NAC and then to the U.S. Securities and Exchange Commission and a U.S. Court of Appeals.

Further, Respondent specifically and voluntarily waives any right to claim bias or prejudgment of the Chief Legal Officer, the NAC, or any member of the NAC, in connection with such person's or body's participation in discussions regarding the terms and conditions of this AWC, or other consideration of this AWC, including its acceptance or rejection.

Respondent further specifically and voluntarily waives any right to claim that a person violated the ex parte prohibitions of FINRA Rule 9143 or the separation of functions prohibitions of FINRA Rule 9144, in connection with such person's or body's participation in discussions regarding the terms and conditions of this AWC, or other consideration of this AWC, including its acceptance or rejection.

III.

OTHER MATTERS

Respondent understands that:

- A. Submission of this AWC is voluntary and will not resolve this matter unless and until it has been reviewed and accepted by the NAC, a Review Subcommittee of the NAC, or the Office of Disciplinary Affairs (ODA), pursuant to FINRA Rule 9216;
- B. If this AWC is not accepted, its submission will not be used as evidence to prove any of the allegations against Respondent; and
- C. If accepted:
 - 1. this AWC will become part of Respondent's permanent disciplinary record and may be considered in any future action brought by FINRA or any other regulator against Respondent;
 - 2. this AWC will be made available through FINRA's public disclosure program in accordance with FINRA Rule 8313;
 - 3. FINRA may make a public announcement concerning this agreement and its subject matter in accordance with FINRA Rule 8313; and

4. Respondent may not take any action or make or permit to be made any public statement, including in regulatory filings or otherwise, denying, directly or indirectly, any finding in this AWC or create the impression that the AWC is without factual basis. Respondent may not take any position in any proceeding brought by or on behalf of FINRA, or to which FINRA is a party, that is inconsistent with any part of this AWC. Nothing in this provision affects Respondent's right to take legal or factual positions in litigation or other legal proceedings in which FINRA is not a party. Nothing in this provision affects Respondent's testimonial obligations in any litigation or other legal proceedings.

- D. Respondent may attach a corrective action statement to this AWC that is a statement of demonstrable corrective steps taken to prevent future misconduct. Respondent understands that it may not deny the charges or make any statement that is inconsistent with the AWC in this statement. This statement does not constitute factual or legal findings by FINRA, nor does it reflect the views of FINRA.

The undersigned, on behalf of Respondent, certifies that a person duly authorized to act on Respondent's behalf has read and understands all of the provisions of this AWC and has been given a full opportunity to ask questions about it; that Respondent has agreed to the AWC's provisions voluntarily; and that no offer, threat, inducement, or promise of any kind, other than the terms set forth in this AWC and the prospect of avoiding the issuance of a complaint, has been made to induce Respondent to submit this AWC.

June 26, 2024

Date

William P. Hodge

Joseph Gunnar & Co. LLC
Respondent

Print Name: William P. Hodge

Title: CCO/AMLCO

Reviewed by:



Stephen H. Cohen
Counsel for Respondent
Loeb & Loeb LLP
345 Park Avenue
New York, New York 10154

Accepted by FINRA:

July 8, 2024

Date

Signed on behalf of the
Director of ODA, by delegated authority

Matthew Aglialoro

Matthew Aglialoro
Principal Counsel
FINRA
Department of Enforcement
200 Liberty Street
New York, New York 10281

Attachment A

| Account Number | Trade Date | Symbol | Shares | Price | Principal | Restitution Amount |
|----------------|------------|--------|--------|-----------|-------------|--------------------|
| | 8/13/2018 | KODK | 300 | \$ 3.20 | \$ 960.00 | \$ 52.00 |
| | 8/13/2018 | GE | 100 | \$ 12.51 | \$ 1,250.60 | \$ 37.47 |
| | 8/20/2018 | UUUUWS | 1,050 | \$ 1.40 | \$ 1,466.43 | \$ 26.68 |
| | 8/27/2018 | AOBC | 150 | \$ 9.71 | \$ 1,456.11 | \$ 27.19 |
| | 8/27/2018 | AOBC | 175 | \$ 9.83 | \$ 1,719.80 | \$ 14.01 |
| | 8/27/2018 | RAD | 1,225 | \$ 1.44 | \$ 1,767.55 | \$ 11.62 |
| | 8/27/2018 | RAD | 825 | \$ 1.44 | \$ 1,190.13 | \$ 40.49 |
| | 8/29/2018 | CAPR | 1,500 | \$ 1.20 | \$ 1,797.85 | \$ 10.11 |
| | 8/29/2018 | NYCB | 130 | \$ 10.77 | \$ 1,399.58 | \$ 30.02 |
| | 8/29/2018 | RAD | 1,250 | \$ 1.41 | \$ 1,765.13 | \$ 11.74 |
| | 9/4/2018 | AOBC | 100 | \$ 14.93 | \$ 1,493.25 | \$ 25.34 |
| | 9/4/2018 | MNKD | 1,000 | \$ 1.96 | \$ 1,960.00 | \$ 2.00 |
| | 9/4/2018 | NYCB | 110 | \$ 10.87 | \$ 1,195.15 | \$ 40.24 |
| | 9/7/2018 | AKS | 450 | \$ 4.25 | \$ 1,911.20 | \$ 4.44 |
| | 9/7/2018 | CHK | 200 | \$ 3.99 | \$ 798.20 | \$ 60.09 |
| | 9/12/2018 | AKS | 290 | \$ 4.30 | \$ 1,245.84 | \$ 37.71 |
| | 9/12/2018 | AOBC | 100 | \$ 15.29 | \$ 1,528.56 | \$ 23.57 |
| | 9/13/2018 | AKS | 200 | \$ 4.38 | \$ 875.20 | \$ 56.24 |
| | 10/5/2018 | ESTC | 25 | \$ 70.00 | \$ 1,750.00 | \$ 12.50 |
| | 10/11/2018 | MPLX | 50 | \$ 35.07 | \$ 1,753.75 | \$ 12.31 |
| | 10/11/2018 | TRGP | 24 | \$ 55.71 | \$ 1,337.10 | \$ 33.15 |
| | 10/11/2018 | UAA | 100 | \$ 18.41 | \$ 1,841.20 | \$ 7.94 |
| | 10/11/2018 | UA | 100 | \$ 17.04 | \$ 1,704.10 | \$ 14.80 |
| | 10/16/2018 | BLNK | 500 | \$ 3.70 | \$ 1,850.00 | \$ 7.50 |
| | 10/17/2018 | GLW | 50 | \$ 32.76 | \$ 1,638.00 | \$ 18.10 |
| | 10/18/2018 | RNN | 1,400 | \$ 1.18 | \$ 1,652.00 | \$ 17.40 |
| | 10/23/2018 | HD | 10 | \$ 178.13 | \$ 1,781.25 | \$ 10.94 |
| | 10/23/2018 | APDNW | 8,000 | \$ 0.13 | \$ 1,046.03 | \$ 47.70 |
| | 10/26/2018 | T | 50 | \$ 29.02 | \$ 1,451.00 | \$ 27.45 |
| | 10/29/2018 | CTHR | 2,000 | \$ 0.93 | \$ 1,860.00 | \$ 7.00 |
| | 10/29/2018 | CRMD | 503 | \$ 1.07 | \$ 538.96 | \$ 73.05 |
| | 11/1/2018 | ULTXF | 10,000 | \$ 0.13 | \$ 1,255.20 | \$ 37.24 |
| | 11/1/2018 | CHK | 500 | \$ 3.56 | \$ 1,781.45 | \$ 10.93 |
| | 11/2/2018 | ULTXF | 10,000 | \$ 0.12 | \$ 1,221.00 | \$ 38.95 |
| | 11/6/2018 | ALGRU | 100 | \$ 10.20 | \$ 1,020.00 | \$ 49.00 |
| | 11/6/2018 | CYRXW | 100 | \$ 8.05 | \$ 805.01 | \$ 59.75 |
| | 11/13/2018 | IQ | 80 | \$ 20.62 | \$ 1,649.59 | \$ 17.52 |
| | 11/13/2018 | ULTXF | 10,000 | \$ 0.11 | \$ 1,119.00 | \$ 44.05 |
| | 11/16/2018 | ULTXF | 10,000 | \$ 0.11 | \$ 1,090.00 | \$ 45.50 |
| | 11/20/2018 | XLY | 15 | \$ 102.58 | \$ 1,538.70 | \$ 23.07 |
| | 11/20/2018 | XLY | 16 | \$ 102.28 | \$ 1,636.40 | \$ 18.18 |
| | 11/20/2018 | XLY | 15 | \$ 102.03 | \$ 1,530.45 | \$ 23.48 |
| | 11/27/2018 | INSY | 200 | \$ 6.31 | \$ 1,261.50 | \$ 36.93 |
| | 11/27/2018 | MNKD | 300 | \$ 1.76 | \$ 528.57 | \$ 73.57 |

Attachment A

| Account Number | Trade Date | Symbol | Shares | Price | Principal | Restitution Amount |
|----------------|------------|--------|--------|-----------|-------------|--------------------|
| | 11/30/2018 | ADILW | 3,000 | \$ 0.50 | \$ 1,503.00 | \$ 24.85 |
| | 12/3/2018 | SGBX | 450 | \$ 3.54 | \$ 1,591.79 | \$ 20.41 |
| | 12/4/2018 | RGLS | 333 | \$ 1.53 | \$ 509.49 | \$ 74.53 |
| | 12/17/2018 | TBLT | 1,000 | \$ 1.50 | \$ 1,500.00 | \$ 25.00 |
| | 12/18/2018 | BLNKW | 5,000 | \$ 0.34 | \$ 1,687.24 | \$ 15.64 |
| | 12/21/2018 | FEYE | 50 | \$ 16.43 | \$ 821.51 | \$ 58.92 |
| | 12/26/2018 | MUX | 1,000 | \$ 1.89 | \$ 1,888.30 | \$ 5.58 |
| | 12/26/2018 | ADILW | 1,000 | \$ 0.85 | \$ 850.00 | \$ 57.50 |
| | 12/27/2018 | MNKD | 700 | \$ 0.99 | \$ 693.42 | \$ 65.33 |
| | 1/9/2019 | AKS | 500 | \$ 2.73 | \$ 1,366.20 | \$ 31.69 |
| | 1/15/2019 | TBLT | 800 | \$ 1.46 | \$ 1,168.00 | \$ 41.60 |
| | 1/16/2019 | QQQX | 50 | \$ 21.49 | \$ 1,074.51 | \$ 46.27 |
| | 1/22/2019 | IQ | 100 | \$ 17.90 | \$ 1,790.26 | \$ 10.49 |
| | 1/22/2019 | T | 60 | \$ 30.87 | \$ 1,852.21 | \$ 7.39 |
| | 1/22/2019 | SGBX | 500 | \$ 3.07 | \$ 1,536.33 | \$ 23.18 |
| | 1/23/2019 | FB | 7 | \$ 144.49 | \$ 1,011.43 | \$ 49.43 |
| | 1/23/2019 | CCCU | 100 | \$ 11.25 | \$ 1,124.99 | \$ 43.75 |
| | 1/23/2019 | GIGU | 100 | \$ 10.59 | \$ 1,059.08 | \$ 47.05 |
| | 1/25/2019 | ARQL | 500 | \$ 3.53 | \$ 1,765.50 | \$ 11.73 |
| | 1/25/2019 | GERN | 500 | \$ 1.05 | \$ 523.40 | \$ 73.83 |
| | 2/1/2019 | HD | 10 | \$ 184.75 | \$ 1,847.50 | \$ 7.63 |
| | 2/4/2019 | XLFF | 50 | \$ 25.93 | \$ 1,296.65 | \$ 35.17 |
| | 2/5/2019 | BSTI | 158 | \$ 5.10 | \$ 805.34 | \$ 59.73 |
| | 2/5/2019 | FB | 7 | \$ 170.79 | \$ 1,195.53 | \$ 40.22 |
| | 2/6/2019 | ADILW | 2,000 | \$ 0.81 | \$ 1,614.48 | \$ 19.28 |
| | 2/12/2019 | KODK | 300 | \$ 3.05 | \$ 913.56 | \$ 54.32 |
| | 2/12/2019 | GE | 100 | \$ 10.00 | \$ 999.50 | \$ 50.03 |
| | 2/15/2019 | ZAGG | 100 | \$ 11.95 | \$ 1,195.41 | \$ 40.23 |
| | 2/19/2019 | JBLU | 95 | \$ 17.86 | \$ 1,697.02 | \$ 15.15 |
| | 2/20/2019 | AVEO | 2,000 | \$ 0.67 | \$ 1,347.40 | \$ 32.63 |
| | 2/20/2019 | BLNK | 500 | \$ 3.88 | \$ 1,940.00 | \$ 3.00 |
| | 2/20/2019 | CLNE | 500 | \$ 2.29 | \$ 1,143.55 | \$ 42.82 |
| | 2/20/2019 | BLNKW | 2,000 | \$ 0.96 | \$ 1,920.00 | \$ 4.00 |
| | 2/22/2019 | TBLT | 890 | \$ 1.88 | \$ 1,672.47 | \$ 19.75 |
| | 2/26/2019 | FL | 18 | \$ 59.12 | \$ 1,064.16 | \$ 46.79 |
| | 2/26/2019 | QQQX | 55 | \$ 22.27 | \$ 1,224.85 | \$ 38.76 |
| | 3/1/2019 | FL | 18 | \$ 68.14 | \$ 1,226.54 | \$ 38.67 |
| | 3/1/2019 | TBLTW | 5,000 | \$ 0.25 | \$ 1,250.00 | \$ 37.50 |
| | 3/4/2019 | GRSHU | 100 | \$ 10.38 | \$ 1,038.13 | \$ 48.09 |
| | 3/8/2019 | X | 100 | \$ 19.24 | \$ 1,923.50 | \$ 3.82 |
| | 3/20/2019 | OSUR | 100 | \$ 11.54 | \$ 1,153.58 | \$ 42.32 |
| | 3/26/2019 | CRUS | 36 | \$ 42.82 | \$ 1,541.70 | \$ 22.92 |
| | 3/27/2019 | IMAC | 100 | \$ 6.00 | \$ 600.01 | \$ 70.00 |
| | 3/27/2019 | IMAC | 100 | \$ 6.08 | \$ 608.05 | \$ 69.60 |

Attachment A

| Account Number | Trade Date | Symbol | Shares | Price | Principal | Restitution Amount |
|----------------|------------|--------|--------|-------------|-------------|--------------------|
| | 3/29/2019 | HEXO | 225 | \$ 6.58 | \$ 1,481.13 | \$ 25.94 |
| | 4/2/2019 | QQQX | 70 | \$ 22.50 | \$ 1,575.00 | \$ 21.25 |
| | 4/2/2019 | QQQX | 70 | \$ 22.50 | \$ 1,575.00 | \$ 21.25 |
| | 4/2/2019 | QQQX | 70 | \$ 22.50 | \$ 1,575.00 | \$ 21.25 |
| | 4/2/2019 | QQQX | 70 | \$ 22.50 | \$ 1,575.00 | \$ 21.25 |
| | 4/2/2019 | QQQX | 72 | \$ 22.50 | \$ 1,619.99 | \$ 19.00 |
| | 4/4/2019 | BLNKW | 1,500 | \$ 1.14 | \$ 1,710.66 | \$ 14.47 |
| | 4/5/2019 | FIT | 184 | \$ 5.98 | \$ 1,099.40 | \$ 45.03 |
| | 4/8/2019 | ADIWW | 3,000 | \$ 0.55 | \$ 1,650.00 | \$ 17.50 |
| | 4/8/2019 | ADIWW | 1,500 | \$ 0.55 | \$ 825.00 | \$ 58.75 |
| | 4/8/2019 | ADIWW | 1,125 | \$ 0.55 | \$ 618.75 | \$ 69.06 |
| | 4/9/2019 | ATIS | 750 | \$ 2.32 | \$ 1,740.00 | \$ 13.00 |
| | 4/9/2019 | ADIWW | 3,000 | \$ 0.60 | \$ 1,800.00 | \$ 10.00 |
| | 4/10/2019 | WISA | 1,000 | \$ 1.92 | \$ 1,919.50 | \$ 4.02 |
| | 4/11/2019 | ITB | 40 | \$ 37.20 | \$ 1,487.80 | \$ 25.61 |
| | 4/11/2019 | TBLT | 1,000 | \$ 1.50 | \$ 1,498.30 | \$ 25.09 |
| | 4/12/2019 | ADIWW | 2,250 | \$ 0.70 | \$ 1,575.00 | \$ 21.25 |
| | 4/15/2019 | AKS | 550 | \$ 2.47 | \$ 1,357.95 | \$ 32.10 |
| | 4/15/2019 | CSCO | 34 | \$ 56.41 | \$ 1,918.09 | \$ 4.10 |
| | 4/16/2019 | CLNE | 500 | \$ 3.25 | \$ 1,626.70 | \$ 18.67 |
| | 4/17/2019 | LEVB | 440 | \$ 4.39 | \$ 1,930.41 | \$ 3.48 |
| | 4/17/2019 | LEVB | 375 | \$ 4.44 | \$ 1,665.00 | \$ 16.75 |
| | 4/17/2019 | SGBX | 1,500 | \$ 1.26 | \$ 1,883.20 | \$ 5.84 |
| | 4/29/2019 | RBNZF | 500 | \$ 2.10 | \$ 1,050.00 | \$ 47.50 |
| | 4/29/2019 | MOTI | 62 | \$ 31.93 | \$ 1,979.67 | \$ 1.02 |
| | 5/2/2019 | GOOG | 1 | \$ 1,169.64 | \$ 1,169.64 | \$ 41.52 |
| | 5/6/2019 | GUNR | 52 | \$ 32.12 | \$ 1,670.25 | \$ 16.49 |
| | 5/6/2019 | XLE | 22 | \$ 64.10 | \$ 1,410.20 | \$ 29.49 |
| | 5/9/2019 | HEXO | 150 | \$ 7.40 | \$ 1,110.45 | \$ 44.48 |
| | 5/15/2019 | CRON | 100 | \$ 15.11 | \$ 1,511.29 | \$ 24.44 |
| | 5/16/2019 | MYOS | 650 | \$ 1.21 | \$ 789.43 | \$ 60.53 |
| | 5/23/2019 | EFSIW | 1,700 | \$ 1.10 | \$ 1,870.00 | \$ 6.50 |
| | 5/28/2019 | GXGXU | 100 | \$ 10.04 | \$ 1,003.59 | \$ 49.82 |
| | 5/29/2019 | IQ | 100 | \$ 18.73 | \$ 1,873.25 | \$ 6.34 |
| | 6/3/2019 | CRON | 125 | \$ 13.75 | \$ 1,719.29 | \$ 14.04 |
| | 6/4/2019 | EFSIW | 700 | \$ 1.30 | \$ 910.00 | \$ 54.50 |
| | 6/5/2019 | PFNX | 250 | \$ 7.05 | \$ 1,762.23 | \$ 11.89 |
| | 6/11/2019 | CAPL | 100 | \$ 16.00 | \$ 1,599.60 | \$ 20.02 |
| | 6/14/2019 | BLNKW | 2,552 | \$ 0.57 | \$ 1,455.15 | \$ 27.24 |
| | 6/17/2019 | SGBX | 2,000 | \$ 0.78 | \$ 1,568.25 | \$ 21.59 |
| | 6/19/2019 | TBLT | 5,000 | \$ 0.40 | \$ 1,993.88 | \$ 0.31 |
| | 6/19/2019 | TBLT | 3,850 | \$ 0.40 | \$ 1,539.97 | \$ 23.00 |
| | 6/19/2019 | ADILW | 5,000 | \$ 0.30 | \$ 1,500.00 | \$ 25.00 |
| | 6/19/2019 | EFSIW | 1,000 | \$ 1.39 | \$ 1,391.00 | \$ 30.45 |

Attachment A

| Account Number | Trade Date | Symbol | Shares | Price | Principal | Restitution Amount |
|----------------|------------|--------|--------|----------|-------------|--------------------|
| | 6/26/2019 | PSEC | 300 | \$ 6.50 | \$ 1,950.66 | \$ 2.47 |
| | 7/10/2019 | TBLT | 2,819 | \$ 0.43 | \$ 1,219.50 | \$ 39.03 |
| | 7/10/2019 | ARTLW | 800 | \$ 0.86 | \$ 690.99 | \$ 77.95 |
| | 7/23/2019 | APDN | 7,000 | \$ 0.28 | \$ 1,932.00 | \$ 3.40 |
| | 7/23/2019 | XBIOW | 100 | \$ 1.80 | \$ 180.00 | \$ 91.00 |
| | 7/24/2019 | TBLT | 3,000 | \$ 0.48 | \$ 1,451.10 | \$ 27.45 |
| | 7/29/2019 | EVSIV | 900 | \$ 1.55 | \$ 1,395.00 | \$ 30.25 |
| | 7/30/2019 | ADIL | 1,000 | \$ 1.76 | \$ 1,760.00 | \$ 12.00 |
| | 7/30/2019 | YCBD | 410 | \$ 4.46 | \$ 1,828.23 | \$ 8.59 |
| | 7/31/2019 | ACST | 500 | \$ 2.88 | \$ 1,439.00 | \$ 28.05 |
| | 7/31/2019 | YCBD | 430 | \$ 4.40 | \$ 1,890.75 | \$ 5.46 |
| | 8/2/2019 | BLNKW | 3,500 | \$ 0.53 | \$ 1,859.75 | \$ 7.01 |
| | 8/2/2019 | ENTXW | 2,201 | \$ 0.60 | \$ 1,318.40 | \$ 34.08 |
| | 8/2/2019 | SGBX | 1,750 | \$ 0.88 | \$ 1,540.00 | \$ 23.00 |
| | 8/5/2019 | BLNKW | 4,000 | \$ 0.53 | \$ 2,117.76 | \$ 12.19 |
| | 8/5/2019 | HKIB | 100 | \$ 8.91 | \$ 891.00 | \$ 55.45 |
| | 8/5/2019 | HKIB | 100 | \$ 8.91 | \$ 891.00 | \$ 55.45 |
| | 8/5/2019 | HKIB | 100 | \$ 8.91 | \$ 891.00 | \$ 55.45 |
| | 8/5/2019 | SIL | 35 | \$ 28.79 | \$ 1,007.65 | \$ 49.62 |
| | 8/5/2019 | SIL | 50 | \$ 28.31 | \$ 1,415.50 | \$ 29.23 |
| | 8/7/2019 | YCBD | 390 | \$ 5.07 | \$ 1,975.74 | \$ 1.21 |
| | 8/7/2019 | YCBD | 390 | \$ 5.07 | \$ 1,975.74 | \$ 1.21 |
| | 8/7/2019 | CLF | 190 | \$ 8.39 | \$ 1,593.26 | \$ 20.34 |
| | 8/7/2019 | BLDR | 100 | \$ 18.88 | \$ 1,887.60 | \$ 5.62 |
| | 8/16/2019 | HKIB | 200 | \$ 9.13 | \$ 1,826.00 | \$ 8.70 |
| | 8/20/2019 | GSBD | 100 | \$ 19.98 | \$ 1,997.58 | \$ 0.12 |
| | 8/21/2019 | CTST | 750 | \$ 1.86 | \$ 1,396.05 | \$ 30.20 |
| | 8/28/2019 | GGN | 400 | \$ 4.43 | \$ 1,773.36 | \$ 11.33 |
| | 9/11/2019 | SIRI | 297 | \$ 6.50 | \$ 1,930.50 | \$ 3.47 |
| | 10/2/2019 | CLDR | 200 | \$ 8.39 | \$ 1,678.00 | \$ 16.10 |
| | 10/14/2019 | EXG | 200 | \$ 8.22 | \$ 1,643.00 | \$ 17.85 |
| | 10/17/2019 | APXTU | 100 | \$ 10.18 | \$ 1,018.10 | \$ 49.10 |
| | 10/28/2019 | FIOGF | 6,250 | \$ 0.30 | \$ 1,901.25 | \$ 4.94 |
| | 10/28/2019 | YCBD | 500 | \$ 3.98 | \$ 1,992.20 | \$ 0.39 |
| | 10/29/2019 | ENTXW | 5,000 | \$ 0.15 | \$ 749.00 | \$ 62.55 |
| | 10/30/2019 | EXG | 167 | \$ 8.33 | \$ 1,390.69 | \$ 30.47 |
| | 11/11/2019 | ARTLW | 3,000 | \$ 0.44 | \$ 1,305.00 | \$ 34.75 |
| | 11/11/2019 | ACST | 500 | \$ 1.86 | \$ 930.05 | \$ 53.50 |
| | 11/12/2019 | ARTLW | 3,250 | \$ 0.38 | \$ 1,248.15 | \$ 37.59 |
| | 11/12/2019 | F | 130 | \$ 9.10 | \$ 1,182.35 | \$ 40.88 |
| | 11/13/2019 | XFORW | 500 | \$ 3.20 | \$ 1,600.00 | \$ 20.00 |
| | 11/13/2019 | TBLTU | 1,143 | \$ 0.98 | \$ 1,120.14 | \$ 43.99 |
| | 11/18/2019 | XLFI | 60 | \$ 29.73 | \$ 1,783.50 | \$ 10.83 |
| | 11/19/2019 | TBLT | 7,000 | \$ 0.24 | \$ 1,679.67 | \$ 16.02 |

Attachment A

| Account Number | Trade Date | Symbol | Shares | Price | Principal | Restitution Amount |
|----------------|------------|--------|---------|----------|-------------|--------------------|
| | 11/26/2019 | MU | 40 | \$ 46.70 | \$ 1,868.10 | \$ 6.60 |
| | 12/6/2019 | APPDW | 2,000 | \$ 0.75 | \$ 1,500.00 | \$ 25.00 |
| | 12/6/2019 | APPDW | 2,000 | \$ 0.75 | \$ 1,500.00 | \$ 25.00 |
| | 12/6/2019 | MAKOF | 10,000 | \$ 0.18 | \$ 1,839.00 | \$ 8.05 |
| | 12/9/2019 | REPH | 93 | \$ 17.03 | \$ 1,583.80 | \$ 20.81 |
| | 12/9/2019 | REPH | 100 | \$ 16.77 | \$ 1,677.01 | \$ 16.15 |
| | 12/10/2019 | UNG | 100 | \$ 17.35 | \$ 1,734.99 | \$ 13.25 |
| | 12/16/2019 | ENTX | 600 | \$ 2.01 | \$ 1,208.94 | \$ 39.55 |
| | 12/16/2019 | BLNKW | 3,600 | \$ 0.41 | \$ 1,464.72 | \$ 26.76 |
| | 12/27/2019 | AYTU | 1,594 | \$ 0.98 | \$ 1,554.47 | \$ 22.28 |
| | 12/27/2019 | AYTU | 1,594 | \$ 0.98 | \$ 1,554.47 | \$ 22.28 |
| | 12/30/2019 | EVSIV | 2,000 | \$ 0.99 | \$ 1,980.00 | \$ 1.00 |
| | 12/30/2019 | APPDW | 1,000 | \$ 1.10 | \$ 1,100.00 | \$ 45.00 |
| | 1/2/2020 | ADIL | 690 | \$ 2.43 | \$ 1,673.60 | \$ 16.32 |
| | 1/7/2020 | YCBD | 1,000 | \$ 1.99 | \$ 1,990.00 | \$ 0.50 |
| | 1/7/2020 | BLNKW | 3,600 | \$ 0.52 | \$ 1,872.36 | \$ 6.38 |
| | 1/9/2020 | EVSIV | 2,000 | \$ 0.98 | \$ 1,968.88 | \$ 1.56 |
| | 1/9/2020 | EVSIV | 2,000 | \$ 0.90 | \$ 1,803.09 | \$ 9.85 |
| | 1/17/2020 | ARTL | 800 | \$ 2.45 | \$ 1,956.48 | \$ 2.18 |
| | 1/24/2020 | CLSK | 287 | \$ 5.20 | \$ 1,492.40 | \$ 25.38 |
| | 1/29/2020 | AEMD | 500 | \$ 3.47 | \$ 1,736.25 | \$ 13.19 |
| | 1/29/2020 | LIVKU | 100 | \$ 10.13 | \$ 1,013.00 | \$ 49.35 |
| | 1/29/2020 | SCVXU | 100 | \$ 10.37 | \$ 1,037.00 | \$ 48.15 |
| | 1/29/2020 | LIVKU | 100 | \$ 10.16 | \$ 1,016.17 | \$ 49.19 |
| | 1/29/2020 | CIICU | 100 | \$ 10.25 | \$ 1,025.00 | \$ 48.75 |
| | 1/29/2020 | LIVKU | 100 | \$ 10.13 | \$ 1,013.00 | \$ 49.35 |
| | 1/29/2020 | HCCOU | 100 | \$ 10.50 | \$ 1,050.00 | \$ 47.50 |
| | 1/30/2020 | EVSIV | 800 | \$ 1.81 | \$ 1,447.68 | \$ 27.62 |
| | 1/30/2020 | EVSIV | 1,000 | \$ 1.99 | \$ 1,990.00 | \$ 0.50 |
| | 1/30/2020 | QQQX | 70 | \$ 24.28 | \$ 1,699.59 | \$ 15.02 |
| | 1/30/2020 | QQQX | 70 | \$ 24.28 | \$ 1,699.59 | \$ 15.02 |
| | 1/30/2020 | QQQX | 70 | \$ 24.28 | \$ 1,699.59 | \$ 15.02 |
| | 1/30/2020 | QQQX | 71 | \$ 24.28 | \$ 1,723.87 | \$ 13.81 |
| | 1/30/2020 | QQQX | 70 | \$ 24.28 | \$ 1,699.59 | \$ 15.02 |
| | 1/30/2020 | EXEL | 100 | \$ 17.14 | \$ 1,713.60 | \$ 14.32 |
| | 1/30/2020 | EXEL | 100 | \$ 17.12 | \$ 1,712.34 | \$ 14.38 |
| | 1/30/2020 | EXEL | 100 | \$ 17.12 | \$ 1,712.32 | \$ 14.38 |
| | 1/30/2020 | EXEL | 100 | \$ 17.13 | \$ 1,712.67 | \$ 14.37 |
| | 1/30/2020 | EXEL | 100 | \$ 17.13 | \$ 1,713.27 | \$ 14.34 |
| | 1/31/2020 | BLNKW | 3,000 | \$ 0.49 | \$ 1,466.87 | \$ 26.66 |
| | 2/4/2020 | EVSIV | 700 | \$ 1.97 | \$ 1,377.46 | \$ 31.13 |
| | 2/14/2020 | KPAY | 100,000 | \$ 0.02 | \$ 1,549.90 | \$ 22.51 |
| | 2/18/2020 | TBLT | 10,000 | \$ 0.15 | \$ 1,463.00 | \$ 26.85 |
| | 2/19/2020 | ALTG | 100 | \$ 10.52 | \$ 1,052.11 | \$ 47.39 |

Attachment A

| Account Number | Trade Date | Symbol | Shares | Price | Principal | Restitution Amount |
|----------------|------------|--------|--------|-----------|-------------|--------------------|
| | 2/19/2020 | ALTG | 100 | \$ 10.53 | \$ 1,053.00 | \$ 47.35 |
| | 2/19/2020 | ALTG | 100 | \$ 10.55 | \$ 1,055.16 | \$ 47.24 |
| | 2/19/2020 | PGNY | 35 | \$ 34.60 | \$ 1,211.00 | \$ 39.45 |
| | 2/20/2020 | GT | 100 | \$ 11.51 | \$ 1,151.00 | \$ 42.45 |
| | 2/26/2020 | PGNY | 50 | \$ 26.93 | \$ 1,346.51 | \$ 32.67 |
| | 2/28/2020 | OPTT | 3,000 | \$ 0.63 | \$ 1,883.82 | \$ 5.81 |
| | 2/28/2020 | MAKOF | 3,500 | \$ 0.22 | \$ 774.70 | \$ 61.26 |
| | 3/2/2020 | APPDW | 1,200 | \$ 1.50 | \$ 1,800.00 | \$ 10.00 |
| | 3/11/2020 | AYTUZ | 16,700 | \$ 0.08 | \$ 1,336.00 | \$ 33.20 |
| | 3/16/2020 | VISL | 3,750 | \$ 0.13 | \$ 474.38 | \$ 76.28 |
| | 3/16/2020 | VISL | 7,500 | \$ 0.13 | \$ 961.16 | \$ 51.94 |
| | 3/17/2020 | EVSIV | 700 | \$ 2.34 | \$ 1,640.00 | \$ 18.03 |
| | 3/26/2020 | ARTL | 885 | \$ 1.10 | \$ 973.50 | \$ 51.33 |
| | 3/26/2020 | ARTLW | 10,405 | \$ 0.10 | \$ 991.60 | \$ 50.42 |
| | 4/13/2020 | QQQ | 10 | \$ 199.39 | \$ 1,993.90 | \$ 0.31 |
| | 4/14/2020 | JBLU | 200 | \$ 9.33 | \$ 1,866.26 | \$ 6.69 |
| | 4/20/2020 | OIL | 450 | \$ 3.68 | \$ 1,653.75 | \$ 17.31 |
| | 4/27/2020 | AYTU | 750 | \$ 1.94 | \$ 1,455.00 | \$ 27.25 |
| | 4/27/2020 | PFNX | 250 | \$ 6.53 | \$ 1,633.52 | \$ 18.32 |
| | 5/1/2020 | EVSIV | 700 | \$ 2.65 | \$ 1,855.00 | \$ 7.25 |
| | 5/14/2020 | UNG | 100 | \$ 11.74 | \$ 1,174.00 | \$ 41.30 |
| | 5/20/2020 | TBLT | 1,180 | \$ 1.27 | \$ 1,500.59 | \$ 24.97 |
| | 6/3/2020 | GMBLW | 500 | \$ 3.95 | \$ 1,973.90 | \$ 1.30 |
| | 6/3/2020 | T | 47 | \$ 31.58 | \$ 1,484.35 | \$ 25.78 |
| | 6/3/2020 | ELAN | 63 | \$ 23.07 | \$ 1,453.42 | \$ 27.33 |
| | 6/4/2020 | GMBLW | 500 | \$ 3.98 | \$ 1,987.50 | \$ 0.63 |
| | 6/5/2020 | RWLK | 1,000 | \$ 1.92 | \$ 1,919.00 | \$ 4.05 |
| | 6/11/2020 | NVDA | 12 | \$ 362.77 | \$ 4,353.24 | \$ 182.34 |
| | 6/15/2020 | MUX | 1,500 | \$ 0.95 | \$ 1,425.00 | \$ 28.75 |
| | 6/16/2020 | MCACU | 100 | \$ 10.06 | \$ 1,006.00 | \$ 49.70 |
| | 6/16/2020 | MCACU | 100 | \$ 10.03 | \$ 1,003.00 | \$ 49.85 |
| | 6/16/2020 | MCACU | 100 | \$ 10.03 | \$ 1,003.00 | \$ 49.85 |
| | 6/16/2020 | DGLY | 200 | \$ 5.22 | \$ 1,044.32 | \$ 47.78 |
| | 6/16/2020 | BMRGU | 100 | \$ 10.15 | \$ 1,015.00 | \$ 49.25 |
| | 6/16/2020 | CGROU | 100 | \$ 9.93 | \$ 993.10 | \$ 50.35 |
| | 6/16/2020 | DFNSU | 100 | \$ 9.93 | \$ 993.00 | \$ 50.35 |
| | 6/16/2020 | CGROU | 100 | \$ 9.86 | \$ 986.00 | \$ 50.70 |
| | 6/26/2020 | INO | 50 | \$ 30.86 | \$ 1,543.00 | \$ 22.85 |
| | 6/29/2020 | COTY | 402 | \$ 4.68 | \$ 1,882.73 | \$ 5.86 |
| | 6/30/2020 | POLA | 200 | \$ 4.37 | \$ 873.10 | \$ 56.35 |
| | 6/30/2020 | POLA | 163 | \$ 3.12 | \$ 508.72 | \$ 74.56 |
| | 7/7/2020 | PANAU | 100 | \$ 11.21 | \$ 1,120.86 | \$ 43.96 |
| | 7/7/2020 | PANAU | 100 | \$ 11.21 | \$ 1,120.86 | \$ 43.96 |
| | 7/7/2020 | PANAU | 100 | \$ 11.21 | \$ 1,120.86 | \$ 43.96 |

Attachment A

| Account Number | Trade Date | Symbol | Shares | Price | Principal | Restitution Amount |
|----------------|------------|--------|--------|----------|-------------|--------------------|
| | 7/7/2020 | LGVWU | 100 | \$ 10.16 | \$ 1,016.35 | \$ 49.18 |
| | 7/7/2020 | LGVWU | 100 | \$ 10.16 | \$ 1,016.35 | \$ 49.18 |
| | 7/7/2020 | LGVWU | 100 | \$ 10.16 | \$ 1,016.35 | \$ 49.18 |
| | 7/7/2020 | FUSEU | 100 | \$ 10.14 | \$ 1,014.17 | \$ 49.29 |
| | 7/7/2020 | FUSEU | 100 | \$ 10.14 | \$ 1,013.90 | \$ 49.31 |
| | 7/15/2020 | DEHU | 100 | \$ 10.05 | \$ 1,005.00 | \$ 49.75 |
| | 7/15/2020 | DEHU | 100 | \$ 10.05 | \$ 1,005.00 | \$ 49.75 |
| | 7/15/2020 | DEHU | 100 | \$ 10.05 | \$ 1,005.00 | \$ 49.75 |
| | 7/16/2020 | DEHU | 100 | \$ 10.02 | \$ 1,002.01 | \$ 49.90 |
| | 7/17/2020 | WPFU | 100 | \$ 11.03 | \$ 1,103.00 | \$ 44.85 |
| | 7/17/2020 | DEHU | 100 | \$ 10.05 | \$ 1,005.00 | \$ 49.75 |
| | 7/20/2020 | USDP | 375 | \$ 3.02 | \$ 1,132.50 | \$ 43.38 |
| | 7/21/2020 | BMRGU | 100 | \$ 11.17 | \$ 1,117.00 | \$ 44.15 |
| | 7/23/2020 | EDTK | 250 | \$ 5.35 | \$ 1,337.50 | \$ 33.13 |
| | 7/23/2020 | EDTK | 250 | \$ 5.35 | \$ 1,337.50 | \$ 33.13 |
| | 7/23/2020 | EDTK | 250 | \$ 5.35 | \$ 1,337.50 | \$ 33.13 |
| | 7/23/2020 | EDTK | 250 | \$ 5.35 | \$ 1,337.50 | \$ 33.13 |
| | 7/23/2020 | TXMD | 1,000 | \$ 1.93 | \$ 1,930.00 | \$ 3.50 |
| | 7/23/2020 | ERESU | 100 | \$ 9.97 | \$ 997.00 | \$ 50.15 |
| | 7/23/2020 | ERESU | 100 | \$ 9.96 | \$ 996.00 | \$ 50.20 |
| | 7/23/2020 | ERESU | 100 | \$ 9.96 | \$ 996.00 | \$ 50.20 |
| | 7/24/2020 | VRMEW | 1,676 | \$ 1.05 | \$ 1,759.80 | \$ 12.01 |
| | 7/28/2020 | BE | 100 | \$ 15.18 | \$ 1,518.00 | \$ 24.10 |
| | 7/28/2020 | ACEVU | 100 | \$ 10.20 | \$ 1,020.00 | \$ 49.00 |
| | 7/29/2020 | HDSLFL | 20,000 | \$ 0.06 | \$ 1,278.00 | \$ 36.10 |
| | 7/31/2020 | VRMEW | 707 | \$ 1.10 | \$ 777.70 | \$ 61.12 |
| | 7/31/2020 | VITL | 50 | \$ 35.00 | \$ 1,750.00 | \$ 12.50 |
| | 7/31/2020 | FTHM | 100 | \$ 11.50 | \$ 1,150.00 | \$ 42.50 |
| | 7/31/2020 | FTHM | 100 | \$ 11.50 | \$ 1,150.00 | \$ 42.50 |
| | 8/3/2020 | BNED | 650 | \$ 2.08 | \$ 1,352.00 | \$ 32.40 |
| | 8/4/2020 | VRME | 279 | \$ 3.79 | \$ 1,057.41 | \$ 47.13 |
| | 8/6/2020 | ACNDU | 100 | \$ 10.12 | \$ 1,012.00 | \$ 49.40 |
| | 8/6/2020 | ERESU | 100 | \$ 9.99 | \$ 999.00 | \$ 50.05 |
| | 8/6/2020 | FTHM | 100 | \$ 9.61 | \$ 960.50 | \$ 51.98 |
| | 8/10/2020 | FEYE | 100 | \$ 13.00 | \$ 1,300.00 | \$ 35.00 |
| | 8/11/2020 | VRME | 250 | \$ 4.47 | \$ 1,117.50 | \$ 44.13 |
| | 8/13/2020 | BOWXU | 100 | \$ 10.10 | \$ 1,010.01 | \$ 49.50 |
| | 8/13/2020 | FUSEU | 100 | \$ 10.08 | \$ 1,007.50 | \$ 49.63 |
| | 8/13/2020 | ETACU | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 8/13/2020 | GRCYU | 100 | \$ 9.97 | \$ 997.03 | \$ 50.15 |
| | 8/14/2020 | LCAPU | 100 | \$ 9.99 | \$ 999.00 | \$ 50.05 |
| | 8/14/2020 | LCAPU | 100 | \$ 9.99 | \$ 999.00 | \$ 50.05 |
| | 8/19/2020 | CHFS | 3,500 | \$ 0.51 | \$ 1,791.31 | \$ 10.43 |
| | 8/26/2020 | KBNTW | 2,000 | \$ 0.98 | \$ 1,960.00 | \$ 2.00 |

Attachment A

| Account Number | Trade Date | Symbol | Shares | Price | Principal | Restitution Amount |
|----------------|------------|--------|--------|----------|-------------|--------------------|
| | 8/26/2020 | KBNTW | 2,000 | \$ 0.96 | \$ 1,910.00 | \$ 4.50 |
| | 8/26/2020 | KBNTW | 2,000 | \$ 0.91 | \$ 1,820.00 | \$ 9.00 |
| | 8/26/2020 | ODP | 80 | \$ 22.41 | \$ 1,792.80 | \$ 10.36 |
| | 8/26/2020 | NMM | 200 | \$ 6.45 | \$ 1,290.06 | \$ 35.50 |
| | 8/27/2020 | KBNTW | 2,000 | \$ 0.90 | \$ 1,800.00 | \$ 10.00 |
| | 8/27/2020 | KBNTW | 2,000 | \$ 0.89 | \$ 1,787.00 | \$ 10.65 |
| | 8/27/2020 | BOWXU | 150 | \$ 10.02 | \$ 1,503.00 | \$ 24.85 |
| | 8/28/2020 | KBNTW | 2,000 | \$ 0.85 | \$ 1,700.00 | \$ 15.00 |
| | 8/28/2020 | KBNTW | 2,000 | \$ 0.85 | \$ 1,700.00 | \$ 15.00 |
| | 8/31/2020 | YCBD | 400 | \$ 2.55 | \$ 1,018.00 | \$ 49.10 |
| | 9/1/2020 | KBNTW | 1,000 | \$ 1.25 | \$ 1,250.00 | \$ 37.50 |
| | 9/2/2020 | VRMEW | 800 | \$ 1.10 | \$ 880.00 | \$ 56.00 |
| | 9/2/2020 | FTHM | 100 | \$ 18.28 | \$ 1,828.21 | \$ 8.59 |
| | 9/2/2020 | ETACU | 100 | \$ 9.99 | \$ 999.00 | \$ 50.05 |
| | 9/10/2020 | KBNTW | 2,000 | \$ 0.99 | \$ 1,980.00 | \$ 1.00 |
| | 9/11/2020 | CRHCU | 100 | \$ 10.11 | \$ 1,011.00 | \$ 49.45 |
| | 9/11/2020 | CRHCU | 100 | \$ 10.11 | \$ 1,011.00 | \$ 49.45 |
| | 9/11/2020 | CRHCU | 100 | \$ 10.10 | \$ 1,010.00 | \$ 49.50 |
| | 9/14/2020 | KBNTW | 2,000 | \$ 0.97 | \$ 1,930.00 | \$ 3.50 |
| | 9/14/2020 | ARTL | 1,625 | \$ 0.90 | \$ 1,463.96 | \$ 26.80 |
| | 9/15/2020 | GMBLW | 850 | \$ 2.17 | \$ 1,841.00 | \$ 7.95 |
| | 9/15/2020 | QQQX | 70 | \$ 24.81 | \$ 1,736.69 | \$ 13.17 |
| | 9/15/2020 | ARTL | 800 | \$ 0.88 | \$ 704.32 | \$ 64.78 |
| | 9/16/2020 | FROG | 25 | \$ 76.69 | \$ 1,917.25 | \$ 4.14 |
| | 9/21/2020 | ZI | 50 | \$ 32.51 | \$ 1,625.50 | \$ 18.73 |
| | 9/22/2020 | OACBU | 100 | \$ 10.34 | \$ 1,033.50 | \$ 48.33 |
| | 9/25/2020 | CWBR | 2,000 | \$ 0.99 | \$ 1,987.20 | \$ 0.64 |
| | 9/28/2020 | PMVCU | 100 | \$ 10.00 | \$ 999.50 | \$ 50.03 |
| | 9/30/2020 | STWOU | 100 | \$ 10.03 | \$ 1,002.50 | \$ 49.88 |
| | 10/1/2020 | AHACU | 100 | \$ 9.91 | \$ 991.03 | \$ 50.45 |
| | 10/2/2020 | CCCC | 75 | \$ 26.40 | \$ 1,980.00 | \$ 1.00 |
| | 10/5/2020 | PECKW | 5,700 | \$ 0.30 | \$ 1,715.70 | \$ 14.22 |
| | 10/5/2020 | TLRY | 175 | \$ 5.20 | \$ 910.00 | \$ 54.50 |
| | 10/6/2020 | ACNDU | 100 | \$ 10.53 | \$ 1,053.00 | \$ 47.35 |
| | 10/6/2020 | STWOU | 100 | \$ 10.00 | \$ 1,000.01 | \$ 50.00 |
| | 10/6/2020 | IMPXU | 100 | \$ 9.95 | \$ 995.00 | \$ 50.25 |
| | 10/6/2020 | PCSA | 100 | \$ 4.07 | \$ 407.00 | \$ 79.65 |
| | 10/8/2020 | ACNDU | 100 | \$ 10.50 | \$ 1,049.50 | \$ 47.53 |
| | 10/8/2020 | BOWXU | 100 | \$ 10.13 | \$ 1,013.00 | \$ 49.35 |
| | 10/14/2020 | WPFU | 100 | \$ 10.80 | \$ 1,080.00 | \$ 46.00 |
| | 10/14/2020 | PCSA | 100 | \$ 4.69 | \$ 469.00 | \$ 76.55 |
| | 10/15/2020 | ARRY | 50 | \$ 35.63 | \$ 1,781.50 | \$ 10.93 |
| | 10/15/2020 | ARRY | 25 | \$ 30.79 | \$ 769.75 | \$ 61.51 |
| | 10/19/2020 | ARRY | 50 | \$ 38.83 | \$ 1,941.50 | \$ 2.93 |

Attachment A

| Account Number | Trade Date | Symbol | Shares | Price | Principal | Restitution Amount |
|----------------|------------|--------|--------|-----------|-------------|--------------------|
| | 10/20/2020 | PANAU | 100 | \$ 11.50 | \$ 1,150.00 | \$ 42.50 |
| | 10/20/2020 | BCTG | 100 | \$ 10.17 | \$ 1,016.50 | \$ 49.18 |
| | 10/21/2020 | BTWNU | 100 | \$ 10.20 | \$ 1,020.00 | \$ 49.00 |
| | 10/21/2020 | BTWNU | 100 | \$ 10.19 | \$ 1,019.00 | \$ 49.05 |
| | 10/29/2020 | DFHTU | 100 | \$ 10.38 | \$ 1,038.00 | \$ 48.10 |
| | 10/29/2020 | XPEV | 50 | \$ 20.30 | \$ 1,015.01 | \$ 49.25 |
| | 10/29/2020 | GRSVU | 100 | \$ 10.01 | \$ 1,001.00 | \$ 49.95 |
| | 10/29/2020 | FVAM | 100 | \$ 10.00 | \$ 1,000.07 | \$ 50.00 |
| | 10/29/2020 | ASQU | 100 | \$ 9.84 | \$ 984.06 | \$ 50.80 |
| | 11/4/2020 | REI | 1,000 | \$ 0.50 | \$ 497.75 | \$ 75.11 |
| | 11/4/2020 | REI | 1,000 | \$ 0.50 | \$ 495.50 | \$ 75.22 |
| | 11/5/2020 | TLRY | 200 | \$ 7.44 | \$ 1,488.00 | \$ 25.60 |
| | 11/5/2020 | CONXU | 100 | \$ 9.93 | \$ 993.00 | \$ 50.35 |
| | 11/16/2020 | IACAU | 100 | \$ 10.56 | \$ 1,055.50 | \$ 47.23 |
| | 11/18/2020 | YGMZ | 500 | \$ 3.75 | \$ 1,872.50 | \$ 6.38 |
| | 11/18/2020 | HLXA | 100 | \$ 10.40 | \$ 1,040.00 | \$ 48.00 |
| | 11/18/2020 | BTWNU | 100 | \$ 10.25 | \$ 1,025.01 | \$ 48.75 |
| | 11/18/2020 | FVAM | 100 | \$ 10.02 | \$ 1,002.00 | \$ 49.90 |
| | 11/19/2020 | PLYA | 200 | \$ 4.56 | \$ 912.02 | \$ 154.40 |
| | 11/20/2020 | AAPL | 15 | \$ 118.20 | \$ 1,773.01 | \$ 11.35 |
| | 11/24/2020 | DCTH | 100 | \$ 16.51 | \$ 1,651.00 | \$ 17.45 |
| | 11/30/2020 | HDSL | 20,000 | \$ 0.08 | \$ 1,662.00 | \$ 16.90 |
| | 11/30/2020 | BWACU | 100 | \$ 10.17 | \$ 1,017.00 | \$ 49.15 |
| | 12/1/2020 | IBB | 12 | \$ 147.10 | \$ 1,765.23 | \$ 11.74 |
| | 12/1/2020 | NOK | 250 | \$ 4.06 | \$ 1,015.85 | \$ 49.21 |
| | 12/3/2020 | KBNTW | 2,000 | \$ 1.20 | \$ 2,400.00 | \$ 30.00 |
| | 12/3/2020 | KBNTW | 1,200 | \$ 1.09 | \$ 1,308.00 | \$ 34.60 |
| | 12/4/2020 | FTCVU | 100 | \$ 10.30 | \$ 1,030.00 | \$ 48.50 |
| | 12/4/2020 | FTCVU | 100 | \$ 10.30 | \$ 1,030.00 | \$ 48.50 |
| | 12/7/2020 | TTNPW | 20,400 | \$ 0.06 | \$ 1,224.00 | \$ 38.80 |
| | 12/8/2020 | GMBLW | 550 | \$ 3.13 | \$ 1,722.50 | \$ 13.88 |
| | 12/8/2020 | DCTH | 100 | \$ 16.31 | \$ 1,631.00 | \$ 18.45 |
| | 12/8/2020 | FTCVU | 100 | \$ 10.33 | \$ 1,033.00 | \$ 48.35 |
| | 12/9/2020 | FTCVU | 100 | \$ 10.30 | \$ 1,030.00 | \$ 48.50 |
| | 12/10/2020 | ONCS | 200 | \$ 5.11 | \$ 1,022.00 | \$ 48.90 |
| | 12/11/2020 | KBNTW | 600 | \$ 2.60 | \$ 1,560.00 | \$ 22.00 |
| | 12/11/2020 | MOTVU | 100 | \$ 10.24 | \$ 1,023.50 | \$ 48.83 |
| | 12/11/2020 | MOTVU | 100 | \$ 10.24 | \$ 1,023.50 | \$ 48.83 |
| | 12/11/2020 | MOTVU | 100 | \$ 10.23 | \$ 1,023.00 | \$ 48.85 |
| | 12/15/2020 | BTWNU | 100 | \$ 14.60 | \$ 1,460.00 | \$ 27.00 |
| | 12/15/2020 | STICU | 100 | \$ 10.35 | \$ 1,035.01 | \$ 48.25 |
| | 12/16/2020 | GHVIU | 100 | \$ 10.35 | \$ 1,035.00 | \$ 48.25 |
| | 12/17/2020 | OCG | 100 | \$ 19.41 | \$ 1,941.00 | \$ 2.95 |
| | 12/17/2020 | OCG | 100 | \$ 19.36 | \$ 1,936.00 | \$ 3.20 |

Attachment A

| Account Number | Trade Date | Symbol | Shares | Price | Principal | Restitution Amount |
|----------------|------------|--------|--------|----------|-------------|--------------------|
| | 12/17/2020 | OCG | 100 | \$ 19.10 | \$ 1,910.00 | \$ 4.50 |
| | 12/17/2020 | OCG | 100 | \$ 19.00 | \$ 1,900.00 | \$ 5.00 |
| | 12/17/2020 | OCG | 100 | \$ 18.85 | \$ 1,885.00 | \$ 5.75 |
| | 12/17/2020 | OCG | 100 | \$ 16.70 | \$ 1,670.00 | \$ 16.50 |
| | 12/18/2020 | GBTC | 41 | \$ 28.13 | \$ 1,153.33 | \$ 335.49 |
| | 12/18/2020 | IPVU | 100 | \$ 14.25 | \$ 1,425.00 | \$ 28.75 |
| | 12/18/2020 | BTWNU | 100 | \$ 14.16 | \$ 1,415.50 | \$ 29.23 |
| | 12/22/2020 | BLUWU | 100 | \$ 10.21 | \$ 1,021.10 | \$ 48.95 |
| | 12/22/2020 | NEBCU | 100 | \$ 10.75 | \$ 1,075.30 | \$ 46.24 |
| | 12/22/2020 | LFAC | 100 | \$ 10.56 | \$ 1,055.50 | \$ 47.23 |
| | 12/22/2020 | ATOWW | 2,840 | \$ 0.11 | \$ 312.40 | \$ 84.38 |
| | 12/22/2020 | OCG | 100 | \$ 19.10 | \$ 1,910.00 | \$ 4.50 |
| | 12/23/2020 | HCARU | 100 | \$ 10.20 | \$ 1,020.00 | \$ 49.00 |
| | 12/23/2020 | LFAC | 100 | \$ 10.61 | \$ 1,060.90 | \$ 46.96 |
| | 12/23/2020 | BLUWU | 100 | \$ 10.22 | \$ 1,022.03 | \$ 48.90 |
| | 12/23/2020 | HCARU | 100 | \$ 10.20 | \$ 1,020.00 | \$ 49.00 |
| | 12/23/2020 | HCARU | 100 | \$ 10.20 | \$ 1,020.00 | \$ 49.00 |
| | 12/23/2020 | HCARU | 100 | \$ 10.20 | \$ 1,020.00 | \$ 49.00 |
| | 12/23/2020 | HCARU | 100 | \$ 10.20 | \$ 1,020.00 | \$ 49.00 |
| | 12/23/2020 | HCARU | 100 | \$ 10.20 | \$ 1,020.00 | \$ 49.00 |
| | 12/23/2020 | HCARU | 100 | \$ 10.20 | \$ 1,020.00 | \$ 49.00 |
| | 12/23/2020 | HCARU | 100 | \$ 10.20 | \$ 1,020.00 | \$ 49.00 |
| | 12/23/2020 | HCARU | 100 | \$ 10.20 | \$ 1,020.00 | \$ 49.00 |
| | 12/23/2020 | HCARU | 100 | \$ 10.20 | \$ 1,020.00 | \$ 49.00 |
| | 12/23/2020 | HCARU | 100 | \$ 10.20 | \$ 1,020.00 | \$ 49.00 |
| | 12/28/2020 | QQQX | 23 | \$ 25.76 | \$ 592.48 | \$ 70.38 |
| | 12/28/2020 | QQQX | 22 | \$ 25.76 | \$ 566.72 | \$ 71.66 |
| | 12/28/2020 | QQQX | 21 | \$ 25.76 | \$ 540.96 | \$ 72.95 |
| | 12/28/2020 | QQQX | 22 | \$ 25.76 | \$ 566.72 | \$ 71.66 |
| | 12/28/2020 | QQQX | 23 | \$ 25.76 | \$ 592.48 | \$ 70.38 |
| | 12/28/2020 | HCARU | 100 | \$ 10.20 | \$ 1,020.00 | \$ 49.00 |
| | 12/29/2020 | WPFU | 100 | \$ 12.05 | \$ 1,205.00 | \$ 39.75 |
| | 12/30/2020 | STLD | 52 | \$ 36.66 | \$ 1,906.51 | \$ 4.67 |
| | 12/30/2020 | MRKR | 1,000 | \$ 1.50 | \$ 1,500.00 | \$ 25.00 |
| | 12/31/2020 | GT | 150 | \$ 10.71 | \$ 1,605.75 | \$ 19.71 |
| | 12/31/2020 | HOTH | 300 | \$ 2.90 | \$ 870.00 | \$ 56.50 |
| | 1/4/2021 | KBNTW | 1,000 | \$ 1.70 | \$ 1,700.00 | \$ 15.00 |
| | 1/4/2021 | KBNTW | 1,000 | \$ 1.70 | \$ 1,700.00 | \$ 15.00 |
| | 1/4/2021 | BNGO | 300 | \$ 5.02 | \$ 1,506.00 | \$ 24.70 |
| | 1/4/2021 | RICEU | 100 | \$ 11.92 | \$ 1,192.00 | \$ 40.40 |
| | 1/4/2021 | BOACU | 100 | \$ 11.25 | \$ 1,125.00 | \$ 43.75 |
| | 1/4/2021 | LFAC | 100 | \$ 10.50 | \$ 1,050.00 | \$ 47.50 |
| | 1/5/2021 | HCARU | 100 | \$ 10.52 | \$ 1,052.00 | \$ 47.40 |
| | 1/5/2021 | HCARU | 100 | \$ 10.50 | \$ 1,050.00 | \$ 47.50 |
| | 1/5/2021 | MOTVU | 100 | \$ 10.46 | \$ 1,045.50 | \$ 47.73 |
| | 1/5/2021 | ALTG | 100 | \$ 9.96 | \$ 996.00 | \$ 50.20 |

Attachment A

| Account Number | Trade Date | Symbol | Shares | Price | Principal | Restitution Amount |
|----------------|------------|--------|--------|----------|-------------|--------------------|
| | 1/5/2021 | CHEK | 300 | \$ 2.23 | \$ 669.00 | \$ 66.55 |
| | 1/6/2021 | CGROU | 100 | \$ 15.54 | \$ 1,554.00 | \$ 22.30 |
| | 1/6/2021 | LOAC | 100 | \$ 13.02 | \$ 1,302.00 | \$ 34.90 |
| | 1/6/2021 | LOAC | 100 | \$ 13.02 | \$ 1,302.00 | \$ 34.90 |
| | 1/6/2021 | LOAC | 100 | \$ 12.85 | \$ 1,285.00 | \$ 35.75 |
| | 1/6/2021 | LOAC | 100 | \$ 12.67 | \$ 1,266.50 | \$ 36.68 |
| | 1/6/2021 | APSGU | 100 | \$ 11.04 | \$ 1,103.50 | \$ 44.83 |
| | 1/6/2021 | XPOAU | 100 | \$ 11.02 | \$ 1,102.01 | \$ 44.90 |
| | 1/6/2021 | XPOAU | 100 | \$ 11.02 | \$ 1,102.01 | \$ 44.90 |
| | 1/6/2021 | ACNDU | 100 | \$ 10.95 | \$ 1,095.00 | \$ 45.25 |
| | 1/6/2021 | HIGAU | 100 | \$ 10.59 | \$ 1,059.00 | \$ 47.05 |
| | 1/6/2021 | LFAC | 100 | \$ 10.58 | \$ 1,058.03 | \$ 47.10 |
| | 1/7/2021 | JMIA | 50 | \$ 37.75 | \$ 1,887.50 | \$ 5.63 |
| | 1/7/2021 | INO | 150 | \$ 9.40 | \$ 1,410.17 | \$ 29.49 |
| | 1/7/2021 | VTRS | 62 | \$ 18.59 | \$ 1,152.59 | \$ 42.37 |
| | 1/7/2021 | VCVCU | 100 | \$ 10.74 | \$ 1,073.50 | \$ 46.33 |
| | 1/8/2021 | FVTU | 100 | \$ 10.82 | \$ 1,082.00 | \$ 45.90 |
| | 1/8/2021 | BENEU | 100 | \$ 10.56 | \$ 1,056.00 | \$ 47.20 |
| | 1/8/2021 | GIKU | 100 | \$ 17.40 | \$ 1,740.00 | \$ 13.00 |
| | 1/8/2021 | MRM | 100 | \$ 17.16 | \$ 1,715.50 | \$ 14.23 |
| | 1/8/2021 | PIPPU | 100 | \$ 12.00 | \$ 1,200.00 | \$ 40.00 |
| | 1/8/2021 | IMPXU | 100 | \$ 11.20 | \$ 1,120.00 | \$ 44.00 |
| | 1/8/2021 | APSGU | 100 | \$ 11.19 | \$ 1,119.00 | \$ 44.05 |
| | 1/8/2021 | YSACU | 100 | \$ 10.85 | \$ 1,085.07 | \$ 45.75 |
| | 1/8/2021 | VIHAU | 50 | \$ 17.86 | \$ 893.00 | \$ 55.35 |
| | 1/8/2021 | PTE | 500 | \$ 1.38 | \$ 687.50 | \$ 65.63 |
| | 1/8/2021 | FTFT | 50 | \$ 11.12 | \$ 556.00 | \$ 72.20 |
| | 1/11/2021 | FTCVU | 100 | \$ 10.71 | \$ 1,070.50 | \$ 46.48 |
| | 1/12/2021 | QLI | 100 | \$ 16.00 | \$ 1,600.00 | \$ 20.00 |
| | 1/12/2021 | QLI | 100 | \$ 16.00 | \$ 1,600.00 | \$ 20.00 |
| | 1/12/2021 | QLI | 100 | \$ 15.60 | \$ 1,560.00 | \$ 22.00 |
| | 1/12/2021 | QLI | 100 | \$ 13.08 | \$ 1,308.00 | \$ 34.60 |
| | 1/12/2021 | QLI | 100 | \$ 11.94 | \$ 1,194.00 | \$ 40.30 |
| | 1/12/2021 | QLI | 100 | \$ 11.94 | \$ 1,194.00 | \$ 40.30 |
| | 1/13/2021 | AFRM | 20 | \$ 97.24 | \$ 1,944.80 | \$ 2.76 |
| | 1/13/2021 | CLOV | 100 | \$ 14.12 | \$ 1,412.00 | \$ 29.40 |
| | 1/13/2021 | SGAMU | 100 | \$ 10.81 | \$ 1,081.00 | \$ 45.95 |
| | 1/13/2021 | MSGM | 25 | \$ 35.00 | \$ 875.00 | \$ 56.25 |
| | 1/14/2021 | YCBD | 500 | \$ 3.76 | \$ 1,880.00 | \$ 6.00 |
| | 1/14/2021 | OGI | 1,000 | \$ 1.76 | \$ 1,760.00 | \$ 12.00 |
| | 1/14/2021 | MSGM | 25 | \$ 30.70 | \$ 767.50 | \$ 61.62 |
| | 1/15/2021 | WOOF | 50 | \$ 28.40 | \$ 1,420.01 | \$ 29.00 |
| | 1/15/2021 | IMPXU | 100 | \$ 11.64 | \$ 1,164.00 | \$ 41.80 |
| | 1/15/2021 | GNACU | 100 | \$ 10.56 | \$ 1,055.50 | \$ 47.23 |

Attachment A

| Account Number | Trade Date | Symbol | Shares | Price | Principal | Restitution Amount |
|----------------|------------|--------|--------|----------|-------------|--------------------|
| | 1/15/2021 | GNACU | 100 | \$ 10.56 | \$ 1,055.50 | \$ 47.23 |
| | 1/15/2021 | GNACU | 100 | \$ 10.55 | \$ 1,055.00 | \$ 47.25 |
| | 1/15/2021 | GNACU | 100 | \$ 10.55 | \$ 1,055.00 | \$ 47.25 |
| | 1/15/2021 | EACPU | 100 | \$ 10.30 | \$ 1,030.00 | \$ 48.50 |
| | 1/15/2021 | EACPU | 100 | \$ 10.30 | \$ 1,030.00 | \$ 48.50 |
| | 1/15/2021 | EACPU | 100 | \$ 10.28 | \$ 1,027.50 | \$ 48.63 |
| | 1/15/2021 | EACPU | 100 | \$ 10.27 | \$ 1,027.00 | \$ 48.65 |
| | 1/15/2021 | LSEA | 100 | \$ 9.41 | \$ 941.00 | \$ 52.95 |
| | 1/15/2021 | QLI | 100 | \$ 8.82 | \$ 882.00 | \$ 55.90 |
| | 1/15/2021 | QLI | 100 | \$ 8.81 | \$ 881.00 | \$ 55.95 |
| | 1/19/2021 | VCKAU | 100 | \$ 10.30 | \$ 1,030.00 | \$ 48.50 |
| | 1/19/2021 | SAIIU | 100 | \$ 11.18 | \$ 1,118.00 | \$ 44.10 |
| | 1/19/2021 | QLI | 100 | \$ 8.21 | \$ 821.00 | \$ 58.95 |
| | 1/20/2021 | VTIQU | 100 | \$ 11.51 | \$ 1,151.00 | \$ 42.45 |
| | 1/20/2021 | BNEU | 100 | \$ 10.57 | \$ 1,057.00 | \$ 47.15 |
| | 1/20/2021 | PLTK | 50 | \$ 32.05 | \$ 1,602.51 | \$ 19.87 |
| | 1/20/2021 | STICU | 100 | \$ 15.87 | \$ 1,587.05 | \$ 20.65 |
| | 1/20/2021 | VCVCU | 100 | \$ 11.51 | \$ 1,151.00 | \$ 42.45 |
| | 1/20/2021 | ACRS | 50 | \$ 22.79 | \$ 1,139.51 | \$ 43.02 |
| | 1/20/2021 | GMBTU | 100 | \$ 10.65 | \$ 1,065.00 | \$ 46.75 |
| | 1/20/2021 | GMBTU | 100 | \$ 10.65 | \$ 1,065.00 | \$ 46.75 |
| | 1/20/2021 | GMBTU | 100 | \$ 10.65 | \$ 1,065.00 | \$ 46.75 |
| | 1/20/2021 | GMBTU | 100 | \$ 10.65 | \$ 1,065.00 | \$ 46.75 |
| | 1/20/2021 | GMBTU | 100 | \$ 10.65 | \$ 1,065.00 | \$ 46.75 |
| | 1/20/2021 | GMBTU | 100 | \$ 10.65 | \$ 1,065.00 | \$ 46.75 |
| | 1/20/2021 | BCYPU | 100 | \$ 10.42 | \$ 1,042.01 | \$ 47.90 |
| | 1/20/2021 | LEGOU | 100 | \$ 10.15 | \$ 1,015.00 | \$ 49.25 |
| | 1/20/2021 | LEGOU | 100 | \$ 10.15 | \$ 1,015.00 | \$ 49.25 |
| | 1/20/2021 | LEGOU | 100 | \$ 10.15 | \$ 1,015.00 | \$ 49.25 |
| | 1/20/2021 | LEGOU | 100 | \$ 10.15 | \$ 1,015.00 | \$ 49.25 |
| | 1/20/2021 | LEGOU | 100 | \$ 10.15 | \$ 1,015.00 | \$ 49.25 |
| | 1/20/2021 | LEGOU | 100 | \$ 10.15 | \$ 1,015.00 | \$ 49.25 |
| | 1/21/2021 | TBLTW | 3,480 | \$ 0.55 | \$ 1,914.00 | \$ 4.30 |
| | 1/21/2021 | TBLTW | 3,000 | \$ 0.52 | \$ 1,560.00 | \$ 22.00 |
| | 1/22/2021 | LJAQU | 100 | \$ 10.41 | \$ 1,041.00 | \$ 47.95 |
| | 1/22/2021 | EUSGU | 100 | \$ 10.66 | \$ 1,066.00 | \$ 46.70 |
| | 1/22/2021 | GMIIU | 100 | \$ 11.28 | \$ 1,128.00 | \$ 43.60 |
| | 1/22/2021 | OCAU | 100 | \$ 11.19 | \$ 1,118.50 | \$ 44.08 |
| | 1/22/2021 | EUSGU | 100 | \$ 10.94 | \$ 1,094.00 | \$ 45.30 |
| | 1/22/2021 | EUSGU | 100 | \$ 10.66 | \$ 1,066.00 | \$ 46.70 |
| | 1/22/2021 | EUSGU | 100 | \$ 10.66 | \$ 1,066.00 | \$ 46.70 |
| | 1/22/2021 | EUSGU | 100 | \$ 10.66 | \$ 1,066.00 | \$ 46.70 |
| | 1/22/2021 | EUSGU | 100 | \$ 10.66 | \$ 1,066.00 | \$ 46.70 |
| | 1/22/2021 | EUSGU | 100 | \$ 10.66 | \$ 1,066.00 | \$ 46.70 |

Attachment A

| Account Number | Trade Date | Symbol | Shares | Price | Principal | Restitution Amount |
|----------------|------------|--------|--------|----------|-------------|--------------------|
| | 1/28/2021 | XM | 25 | \$ 43.16 | \$ 1,079.00 | \$ 46.05 |
| | 1/28/2021 | IGNYU | 100 | \$ 10.27 | \$ 1,027.00 | \$ 48.65 |
| | 1/28/2021 | IGNYU | 100 | \$ 10.27 | \$ 1,027.00 | \$ 48.65 |
| | 1/28/2021 | IGNYU | 100 | \$ 10.27 | \$ 1,027.00 | \$ 48.65 |
| | 1/28/2021 | IGNYU | 100 | \$ 10.27 | \$ 1,027.00 | \$ 48.65 |
| | 1/28/2021 | IGNYU | 100 | \$ 10.27 | \$ 1,027.00 | \$ 48.65 |
| | 1/28/2021 | IGNYU | 100 | \$ 10.27 | \$ 1,027.00 | \$ 48.65 |
| | 1/28/2021 | IGNYU | 100 | \$ 10.27 | \$ 1,027.00 | \$ 48.65 |
| | 1/28/2021 | IGNYU | 100 | \$ 10.27 | \$ 1,027.00 | \$ 48.65 |
| | 1/28/2021 | IGNYU | 100 | \$ 10.27 | \$ 1,027.00 | \$ 48.65 |
| | 1/28/2021 | IGNYU | 100 | \$ 10.27 | \$ 1,027.00 | \$ 48.65 |
| | 1/28/2021 | TLGAU | 100 | \$ 10.05 | \$ 1,005.00 | \$ 49.75 |
| | 1/28/2021 | TLGAU | 100 | \$ 10.05 | \$ 1,005.00 | \$ 49.75 |
| | 1/28/2021 | TLGAU | 100 | \$ 10.05 | \$ 1,005.00 | \$ 49.75 |
| | 1/28/2021 | TLGAU | 100 | \$ 10.05 | \$ 1,005.00 | \$ 49.75 |
| | 1/28/2021 | TLGAU | 100 | \$ 10.05 | \$ 1,005.00 | \$ 49.75 |
| | 1/28/2021 | TLGAU | 100 | \$ 10.05 | \$ 1,005.00 | \$ 49.75 |
| | 1/28/2021 | TLGAU | 100 | \$ 10.05 | \$ 1,005.00 | \$ 49.75 |
| | 1/28/2021 | TLGAU | 100 | \$ 10.05 | \$ 1,005.00 | \$ 49.75 |
| | 1/28/2021 | TLGAU | 100 | \$ 10.05 | \$ 1,005.00 | \$ 49.75 |
| | 1/28/2021 | TLGAU | 100 | \$ 10.05 | \$ 1,005.00 | \$ 49.75 |
| | 1/29/2021 | HS DT | 100 | \$ 13.43 | \$ 1,343.03 | \$ 32.85 |
| | 1/29/2021 | SIEB | 100 | \$ 14.47 | \$ 1,447.00 | \$ 27.65 |
| | 1/29/2021 | BCACU | 100 | \$ 10.19 | \$ 1,019.00 | \$ 49.05 |
| | 1/29/2021 | BCACU | 100 | \$ 10.19 | \$ 1,019.00 | \$ 49.05 |
| | 1/29/2021 | BCACU | 100 | \$ 10.18 | \$ 1,018.00 | \$ 49.10 |
| | 1/29/2021 | BCACU | 100 | \$ 10.18 | \$ 1,018.00 | \$ 49.10 |
| | 1/29/2021 | BCACU | 100 | \$ 10.18 | \$ 1,018.00 | \$ 49.10 |
| | 1/29/2021 | BCACU | 100 | \$ 10.18 | \$ 1,018.00 | \$ 49.10 |
| | 1/29/2021 | MITU | 100 | \$ 10.05 | \$ 1,005.00 | \$ 49.75 |
| | 1/29/2021 | MITU | 100 | \$ 10.05 | \$ 1,005.00 | \$ 49.75 |
| | 1/29/2021 | MITU | 100 | \$ 10.05 | \$ 1,005.00 | \$ 49.75 |
| | 1/29/2021 | MITU | 100 | \$ 10.05 | \$ 1,005.00 | \$ 49.75 |
| | 1/29/2021 | MITU | 100 | \$ 10.05 | \$ 1,005.00 | \$ 49.75 |
| | 1/29/2021 | EZGO | 100 | \$ 8.02 | \$ 802.00 | \$ 59.90 |
| | 1/29/2021 | NLSP | 100 | \$ 2.77 | \$ 277.00 | \$ 86.15 |
| | 1/29/2021 | NLSP | 100 | \$ 2.77 | \$ 277.00 | \$ 86.15 |
| | 1/29/2021 | NLSP | 100 | \$ 2.77 | \$ 277.00 | \$ 86.15 |
| | 1/29/2021 | NLSP | 100 | \$ 2.76 | \$ 276.00 | \$ 86.20 |
| | 1/29/2021 | NLSP | 100 | \$ 2.76 | \$ 276.00 | \$ 86.20 |
| | 1/29/2021 | TLGAU | 100 | \$ 10.05 | \$ 1,005.00 | \$ 49.75 |
| | 2/1/2021 | MITU | 100 | \$ 10.16 | \$ 1,016.00 | \$ 49.20 |
| | 2/1/2021 | MITU | 100 | \$ 10.16 | \$ 1,016.00 | \$ 49.20 |
| | 2/1/2021 | GCACU | 100 | \$ 10.02 | \$ 1,002.00 | \$ 49.90 |
| | 2/1/2021 | GCACU | 100 | \$ 10.02 | \$ 1,002.00 | \$ 49.90 |
| | 2/1/2021 | GCACU | 100 | \$ 10.02 | \$ 1,002.00 | \$ 49.90 |

Attachment A

| Account Number | Trade Date | Symbol | Shares | Price | Principal | Restitution Amount |
|----------------|------------|--------|--------|----------|-------------|--------------------|
| | 2/1/2021 | GCACU | 100 | \$ 10.02 | \$ 1,002.00 | \$ 49.90 |
| | 2/1/2021 | GCACU | 100 | \$ 10.02 | \$ 1,002.00 | \$ 49.90 |
| | 2/1/2021 | GCACU | 100 | \$ 10.02 | \$ 1,002.00 | \$ 49.90 |
| | 2/1/2021 | NLSP | 100 | \$ 2.70 | \$ 270.00 | \$ 86.50 |
| | 2/2/2021 | KOSS | 90 | \$ 17.86 | \$ 1,607.41 | \$ 19.63 |
| | 2/3/2021 | TIXT | 50 | \$ 31.30 | \$ 1,565.00 | \$ 21.75 |
| | 2/3/2021 | BCACU | 100 | \$ 10.18 | \$ 1,018.00 | \$ 49.10 |
| | 2/4/2021 | TSIAU | 100 | \$ 18.75 | \$ 1,875.00 | \$ 6.25 |
| | 2/4/2021 | LIZI | 100 | \$ 12.95 | \$ 1,294.50 | \$ 35.28 |
| | 2/4/2021 | BQ | 100 | \$ 12.06 | \$ 1,205.50 | \$ 39.73 |
| | 2/4/2021 | IMPXU | 100 | \$ 11.99 | \$ 1,199.00 | \$ 40.05 |
| | 2/4/2021 | OACBU | 100 | \$ 11.36 | \$ 1,136.00 | \$ 43.20 |
| | 2/4/2021 | NXUU | 100 | \$ 11.00 | \$ 1,100.00 | \$ 45.00 |
| | 2/4/2021 | NXUU | 100 | \$ 11.00 | \$ 1,100.00 | \$ 45.00 |
| | 2/4/2021 | GMBTU | 100 | \$ 10.92 | \$ 1,092.00 | \$ 45.40 |
| | 2/4/2021 | CSTAU | 100 | \$ 10.53 | \$ 1,052.50 | \$ 47.38 |
| | 2/4/2021 | LEGOU | 100 | \$ 10.53 | \$ 1,052.50 | \$ 47.38 |
| | 2/4/2021 | BCACU | 100 | \$ 10.50 | \$ 1,050.07 | \$ 47.50 |
| | 2/4/2021 | BCACU | 100 | \$ 10.44 | \$ 1,044.00 | \$ 47.80 |
| | 2/4/2021 | GHACU | 100 | \$ 10.41 | \$ 1,041.00 | \$ 47.95 |
| | 2/4/2021 | TLGAU | 100 | \$ 10.27 | \$ 1,027.00 | \$ 48.65 |
| | 2/4/2021 | AMC | 100 | \$ 7.25 | \$ 725.00 | \$ 63.75 |
| | 2/8/2021 | COMSW | 1,400 | \$ 1.35 | \$ 1,890.00 | \$ 5.50 |
| | 2/8/2021 | COMSW | 1,200 | \$ 1.26 | \$ 1,512.00 | \$ 24.40 |
| | 2/8/2021 | NXUU | 100 | \$ 11.25 | \$ 1,125.00 | \$ 43.75 |
| | 2/8/2021 | NXUU | 100 | \$ 11.25 | \$ 1,125.00 | \$ 43.75 |
| | 2/8/2021 | NXUU | 100 | \$ 11.25 | \$ 1,125.00 | \$ 43.75 |
| | 2/8/2021 | NXUU | 100 | \$ 11.25 | \$ 1,125.00 | \$ 43.75 |
| | 2/8/2021 | GSQDU | 100 | \$ 11.05 | \$ 1,105.00 | \$ 44.75 |
| | 2/8/2021 | GSQDU | 100 | \$ 11.05 | \$ 1,105.00 | \$ 44.75 |
| | 2/8/2021 | CENHU | 100 | \$ 10.49 | \$ 1,049.00 | \$ 47.55 |
| | 2/8/2021 | CENHU | 100 | \$ 10.49 | \$ 1,049.00 | \$ 47.55 |
| | 2/8/2021 | CENHU | 100 | \$ 10.49 | \$ 1,049.00 | \$ 47.55 |
| | 2/8/2021 | GHACU | 100 | \$ 10.40 | \$ 1,040.00 | \$ 48.00 |
| | 2/8/2021 | GHACU | 100 | \$ 10.40 | \$ 1,040.00 | \$ 48.00 |
| | 2/8/2021 | ASAXU | 100 | \$ 10.20 | \$ 1,020.00 | \$ 49.00 |
| | 2/8/2021 | ASAXU | 100 | \$ 10.20 | \$ 1,020.00 | \$ 49.00 |
| | 2/8/2021 | ASAXU | 100 | \$ 10.20 | \$ 1,020.00 | \$ 49.00 |
| | 2/8/2021 | ASAXU | 100 | \$ 10.20 | \$ 1,020.00 | \$ 49.00 |
| | 2/8/2021 | BAOS | 100 | \$ 8.20 | \$ 820.00 | \$ 59.00 |
| | 2/8/2021 | BAOS | 100 | \$ 8.15 | \$ 815.00 | \$ 59.25 |
| | 2/8/2021 | GMBLW | 300 | \$ 4.96 | \$ 1,487.73 | \$ 25.61 |
| | 2/9/2021 | RELIW | 2,000 | \$ 1.60 | \$ 3,200.00 | \$ 140.00 |
| | 2/9/2021 | COMSW | 1,200 | \$ 1.53 | \$ 1,836.00 | \$ 8.20 |

Attachment A

| Account Number | Trade Date | Symbol | Shares | Price | Principal | Restitution Amount |
|----------------|------------|--------|--------|----------|-------------|--------------------|
| | 2/9/2021 | RELIW | 1,000 | \$ 1.41 | \$ 1,410.00 | \$ 29.50 |
| | 2/9/2021 | PTE | 1,000 | \$ 1.41 | \$ 1,405.00 | \$ 29.75 |
| | 2/9/2021 | VENAU | 100 | \$ 10.56 | \$ 1,055.50 | \$ 47.23 |
| | 2/9/2021 | VENAU | 100 | \$ 10.52 | \$ 1,051.50 | \$ 47.43 |
| | 2/10/2021 | CGIX | 50 | \$ 14.46 | \$ 723.00 | \$ 63.85 |
| | 2/10/2021 | CGIX | 50 | \$ 14.36 | \$ 718.00 | \$ 64.10 |
| | 2/11/2021 | BMBL | 25 | \$ 79.47 | \$ 1,986.75 | \$ 0.66 |
| | 2/11/2021 | XPDIU | 100 | \$ 11.07 | \$ 1,107.00 | \$ 44.65 |
| | 2/11/2021 | GSQDU | 100 | \$ 10.90 | \$ 1,090.00 | \$ 45.50 |
| | 2/11/2021 | GSQDU | 100 | \$ 10.90 | \$ 1,090.00 | \$ 45.50 |
| | 2/11/2021 | PUCKU | 100 | \$ 10.65 | \$ 1,064.50 | \$ 46.78 |
| | 2/11/2021 | CENHU | 100 | \$ 10.51 | \$ 1,051.00 | \$ 47.45 |
| | 2/11/2021 | GHACU | 100 | \$ 10.41 | \$ 1,041.00 | \$ 47.95 |
| | 2/11/2021 | FOREU | 100 | \$ 10.39 | \$ 1,039.00 | \$ 48.05 |
| | 2/11/2021 | FOREU | 100 | \$ 10.39 | \$ 1,039.00 | \$ 48.05 |
| | 2/11/2021 | ASAXU | 100 | \$ 10.32 | \$ 1,032.00 | \$ 48.40 |
| | 2/11/2021 | QFTAU | 100 | \$ 10.26 | \$ 1,026.00 | \$ 48.70 |
| | 2/12/2021 | TXMD | 1,000 | \$ 1.99 | \$ 1,990.00 | \$ 0.50 |
| | 2/12/2021 | EXG | 200 | \$ 9.01 | \$ 1,802.60 | \$ 9.87 |
| | 2/12/2021 | TLIS | 50 | \$ 31.23 | \$ 1,561.50 | \$ 21.93 |
| | 2/12/2021 | VTRS | 80 | \$ 18.21 | \$ 1,456.80 | \$ 27.16 |
| | 2/12/2021 | XPDIU | 100 | \$ 11.48 | \$ 1,147.50 | \$ 42.63 |
| | 2/12/2021 | XPDIU | 100 | \$ 11.46 | \$ 1,146.00 | \$ 42.70 |
| | 2/12/2021 | XPDIU | 100 | \$ 11.46 | \$ 1,146.00 | \$ 42.70 |
| | 2/12/2021 | GSQDU | 100 | \$ 10.91 | \$ 1,091.00 | \$ 45.45 |
| | 2/12/2021 | PUCKU | 100 | \$ 10.65 | \$ 1,065.00 | \$ 46.75 |
| | 2/16/2021 | AKICU | 100 | \$ 10.51 | \$ 1,051.00 | \$ 47.45 |
| | 2/16/2021 | LHCU | 100 | \$ 10.47 | \$ 1,047.00 | \$ 47.65 |
| | 2/16/2021 | CCVIU | 100 | \$ 11.99 | \$ 1,199.00 | \$ 40.05 |
| | 2/16/2021 | CCVIU | 100 | \$ 11.95 | \$ 1,195.00 | \$ 40.25 |
| | 2/16/2021 | CCVIU | 100 | \$ 11.89 | \$ 1,189.00 | \$ 40.55 |
| | 2/16/2021 | XPDIU | 100 | \$ 11.25 | \$ 1,125.00 | \$ 43.75 |
| | 2/16/2021 | CVIIU | 100 | \$ 10.89 | \$ 1,089.00 | \$ 45.55 |
| | 2/16/2021 | CVIIU | 100 | \$ 10.89 | \$ 1,089.00 | \$ 45.55 |
| | 2/16/2021 | NXUU | 100 | \$ 10.85 | \$ 1,085.00 | \$ 45.75 |
| | 2/16/2021 | CVIIU | 100 | \$ 10.82 | \$ 1,082.00 | \$ 45.90 |
| | 2/16/2021 | SLACU | 100 | \$ 10.69 | \$ 1,069.00 | \$ 46.55 |
| | 2/16/2021 | TCACU | 100 | \$ 10.53 | \$ 1,053.00 | \$ 47.35 |
| | 2/16/2021 | ENFAU | 100 | \$ 10.50 | \$ 1,050.00 | \$ 47.50 |
| | 2/16/2021 | ARTLW | 2,302 | \$ 0.70 | \$ 1,613.70 | \$ 19.31 |
| | 2/16/2021 | FOREU | 100 | \$ 10.38 | \$ 1,037.50 | \$ 48.13 |
| | 2/16/2021 | FOREU | 100 | \$ 10.38 | \$ 1,037.50 | \$ 48.13 |
| | 2/16/2021 | FOREU | 100 | \$ 10.37 | \$ 1,037.00 | \$ 48.15 |
| | 2/16/2021 | MSACU | 100 | \$ 10.31 | \$ 1,031.00 | \$ 48.45 |

Attachment A

| Account Number | Trade Date | Symbol | Shares | Price | Principal | Restitution Amount |
|----------------|------------|--------|--------|----------|-------------|--------------------|
| | 2/16/2021 | MSACU | 100 | \$ 10.31 | \$ 1,031.00 | \$ 48.45 |
| | 2/16/2021 | MSACU | 100 | \$ 10.31 | \$ 1,031.00 | \$ 48.45 |
| | 2/16/2021 | ASAXU | 100 | \$ 10.30 | \$ 1,030.00 | \$ 48.50 |
| | 2/16/2021 | BITEU | 100 | \$ 10.26 | \$ 1,025.50 | \$ 48.73 |
| | 2/16/2021 | BITEU | 100 | \$ 10.25 | \$ 1,025.01 | \$ 48.75 |
| | 2/16/2021 | BITEU | 100 | \$ 10.25 | \$ 1,025.00 | \$ 48.75 |
| | 2/16/2021 | LSEA | 100 | \$ 8.82 | \$ 881.50 | \$ 55.93 |
| | 2/17/2021 | CCVIU | 100 | \$ 11.83 | \$ 1,183.00 | \$ 40.85 |
| | 2/17/2021 | CCVIU | 100 | \$ 11.81 | \$ 1,181.00 | \$ 40.95 |
| | 2/17/2021 | CCVIU | 100 | \$ 11.79 | \$ 1,179.00 | \$ 41.05 |
| | 2/17/2021 | CCVIU | 100 | \$ 11.78 | \$ 1,178.00 | \$ 41.10 |
| | 2/17/2021 | XPDIU | 100 | \$ 11.35 | \$ 1,134.50 | \$ 43.28 |
| | 2/17/2021 | XPDIU | 100 | \$ 11.32 | \$ 1,132.00 | \$ 43.40 |
| | 2/17/2021 | GSQDU | 100 | \$ 10.92 | \$ 1,092.00 | \$ 45.40 |
| | 2/17/2021 | CVIIU | 100 | \$ 10.87 | \$ 1,086.50 | \$ 45.68 |
| | 2/17/2021 | CVIIU | 100 | \$ 10.84 | \$ 1,084.00 | \$ 45.80 |
| | 2/17/2021 | NXUU | 100 | \$ 10.84 | \$ 1,084.00 | \$ 45.80 |
| | 2/17/2021 | CVIIU | 100 | \$ 10.83 | \$ 1,082.50 | \$ 45.88 |
| | 2/17/2021 | NXUU | 100 | \$ 10.82 | \$ 1,081.50 | \$ 45.93 |
| | 2/17/2021 | TSIBU | 100 | \$ 10.74 | \$ 1,074.00 | \$ 46.30 |
| | 2/17/2021 | TSIBU | 100 | \$ 10.74 | \$ 1,074.00 | \$ 46.30 |
| | 2/17/2021 | TCACU | 100 | \$ 10.73 | \$ 1,072.50 | \$ 46.38 |
| | 2/17/2021 | BCYPU | 100 | \$ 10.70 | \$ 1,070.00 | \$ 46.50 |
| | 2/17/2021 | TMACU | 100 | \$ 10.70 | \$ 1,069.50 | \$ 46.53 |
| | 2/17/2021 | TCACU | 100 | \$ 10.69 | \$ 1,069.00 | \$ 46.55 |
| | 2/17/2021 | TCACU | 100 | \$ 10.68 | \$ 1,068.00 | \$ 46.60 |
| | 2/17/2021 | SLACU | 100 | \$ 10.68 | \$ 1,068.00 | \$ 46.60 |
| | 2/17/2021 | SLACU | 100 | \$ 10.68 | \$ 1,068.00 | \$ 46.60 |
| | 2/17/2021 | APGBU | 100 | \$ 10.65 | \$ 1,065.02 | \$ 46.75 |
| | 2/17/2021 | APGBU | 100 | \$ 10.64 | \$ 1,064.00 | \$ 46.80 |
| | 2/17/2021 | TMACU | 100 | \$ 10.61 | \$ 1,061.00 | \$ 46.95 |
| | 2/17/2021 | GHACU | 100 | \$ 10.57 | \$ 1,057.00 | \$ 47.15 |
| | 2/17/2021 | PFDRU | 100 | \$ 10.54 | \$ 1,054.00 | \$ 47.30 |
| | 2/17/2021 | CENHU | 100 | \$ 10.53 | \$ 1,052.50 | \$ 47.38 |
| | 2/17/2021 | PFDRU | 100 | \$ 10.51 | \$ 1,051.00 | \$ 47.45 |
| | 2/17/2021 | GHACU | 100 | \$ 10.50 | \$ 1,050.00 | \$ 47.50 |
| | 2/17/2021 | VENAU | 100 | \$ 10.48 | \$ 1,048.00 | \$ 47.60 |
| | 2/17/2021 | CENHU | 100 | \$ 10.46 | \$ 1,046.00 | \$ 47.70 |
| | 2/17/2021 | VENAU | 100 | \$ 10.41 | \$ 1,041.00 | \$ 47.95 |
| | 2/17/2021 | MSACU | 100 | \$ 10.35 | \$ 1,035.00 | \$ 48.25 |
| | 2/17/2021 | GHACU | 100 | \$ 10.35 | \$ 1,035.00 | \$ 48.25 |
| | 2/17/2021 | FOREU | 100 | \$ 10.34 | \$ 1,034.03 | \$ 48.30 |
| | 2/17/2021 | FOREU | 100 | \$ 10.34 | \$ 1,034.01 | \$ 48.30 |
| | 2/17/2021 | FOREU | 100 | \$ 10.34 | \$ 1,034.01 | \$ 48.30 |

Attachment A

| Account Number | Trade Date | Symbol | Shares | Price | Principal | Restitution Amount |
|----------------|------------|--------|--------|----------|-------------|--------------------|
| | 2/17/2021 | FOREU | 100 | \$ 10.34 | \$ 1,034.00 | \$ 48.30 |
| | 2/17/2021 | MSACU | 100 | \$ 10.33 | \$ 1,033.00 | \$ 48.35 |
| | 2/17/2021 | ASAXU | 100 | \$ 10.33 | \$ 1,032.50 | \$ 48.38 |
| | 2/17/2021 | FOREU | 100 | \$ 10.30 | \$ 1,030.03 | \$ 48.50 |
| | 2/17/2021 | QFTAU | 100 | \$ 10.30 | \$ 1,029.50 | \$ 48.53 |
| | 2/17/2021 | ASAXU | 100 | \$ 10.29 | \$ 1,029.00 | \$ 48.55 |
| | 2/17/2021 | QFTAU | 100 | \$ 10.29 | \$ 1,029.00 | \$ 48.55 |
| | 2/17/2021 | PGRWU | 100 | \$ 10.29 | \$ 1,028.50 | \$ 48.58 |
| | 2/17/2021 | QFTAU | 100 | \$ 10.28 | \$ 1,027.81 | \$ 48.61 |
| | 2/17/2021 | PGRWU | 100 | \$ 10.26 | \$ 1,026.00 | \$ 48.70 |
| | 2/17/2021 | BITEU | 100 | \$ 10.21 | \$ 1,020.50 | \$ 48.98 |
| | 2/17/2021 | BITEU | 100 | \$ 10.20 | \$ 1,020.01 | \$ 49.00 |
| | 2/17/2021 | QLI | 100 | \$ 7.36 | \$ 736.00 | \$ 63.20 |
| | 2/17/2021 | SDH | 100 | \$ 4.75 | \$ 475.00 | \$ 76.25 |
| | 2/18/2021 | HSDT | 100 | \$ 14.50 | \$ 1,449.50 | \$ 27.53 |
| | 2/18/2021 | CNEY | 250 | \$ 6.90 | \$ 1,725.00 | \$ 13.75 |
| | 2/18/2021 | CNEY | 250 | \$ 6.85 | \$ 1,712.54 | \$ 14.37 |
| | 2/18/2021 | BAOS | 200 | \$ 7.06 | \$ 1,411.00 | \$ 29.45 |
| | 2/18/2021 | CCVIU | 100 | \$ 11.83 | \$ 1,182.50 | \$ 40.88 |
| | 2/18/2021 | CCVIU | 100 | \$ 11.81 | \$ 1,180.50 | \$ 40.98 |
| | 2/18/2021 | CCVIU | 100 | \$ 11.80 | \$ 1,180.00 | \$ 41.00 |
| | 2/18/2021 | CCVIU | 100 | \$ 11.79 | \$ 1,179.00 | \$ 41.05 |
| | 2/18/2021 | CCVIU | 100 | \$ 11.79 | \$ 1,179.00 | \$ 41.05 |
| | 2/18/2021 | XPDIU | 100 | \$ 11.21 | \$ 1,120.50 | \$ 43.98 |
| | 2/18/2021 | XPDIU | 100 | \$ 11.20 | \$ 1,120.00 | \$ 44.00 |
| | 2/18/2021 | KINZU | 100 | \$ 11.15 | \$ 1,114.50 | \$ 44.28 |
| | 2/18/2021 | GSQDU | 100 | \$ 10.94 | \$ 1,094.00 | \$ 45.30 |
| | 2/18/2021 | CVIIU | 100 | \$ 10.86 | \$ 1,086.01 | \$ 45.70 |
| | 2/18/2021 | CVIIU | 100 | \$ 10.86 | \$ 1,086.00 | \$ 45.70 |
| | 2/18/2021 | NXUU | 100 | \$ 10.86 | \$ 1,085.50 | \$ 45.73 |
| | 2/18/2021 | GSQDU | 100 | \$ 10.85 | \$ 1,085.00 | \$ 45.75 |
| | 2/18/2021 | GSQDU | 100 | \$ 10.85 | \$ 1,085.00 | \$ 45.75 |
| | 2/18/2021 | FSII | 100 | \$ 10.75 | \$ 1,075.00 | \$ 46.25 |
| | 2/18/2021 | FSII | 100 | \$ 10.75 | \$ 1,074.50 | \$ 46.28 |
| | 2/18/2021 | TSIBU | 100 | \$ 10.74 | \$ 1,074.00 | \$ 46.30 |
| | 2/18/2021 | MACAU | 100 | \$ 10.71 | \$ 1,070.50 | \$ 46.48 |
| | 2/18/2021 | MACAU | 100 | \$ 10.70 | \$ 1,070.00 | \$ 46.50 |
| | 2/18/2021 | MACAU | 100 | \$ 10.69 | \$ 1,069.00 | \$ 46.55 |
| | 2/18/2021 | MACAU | 100 | \$ 10.68 | \$ 1,068.00 | \$ 46.60 |
| | 2/18/2021 | FSII | 100 | \$ 10.68 | \$ 1,068.00 | \$ 46.60 |
| | 2/18/2021 | MACAU | 100 | \$ 10.68 | \$ 1,068.00 | \$ 46.60 |
| | 2/18/2021 | FSII | 100 | \$ 10.66 | \$ 1,066.00 | \$ 46.70 |
| | 2/18/2021 | TCACU | 100 | \$ 10.66 | \$ 1,066.00 | \$ 46.70 |
| | 2/18/2021 | TCACU | 100 | \$ 10.66 | \$ 1,065.50 | \$ 46.73 |

Attachment A

| Account Number | Trade Date | Symbol | Shares | Price | Principal | Restitution Amount |
|----------------|------------|--------|--------|----------|-------------|--------------------|
| | 2/18/2021 | TCACU | 100 | \$ 10.65 | \$ 1,065.00 | \$ 46.75 |
| | 2/18/2021 | TCACU | 100 | \$ 10.65 | \$ 1,065.00 | \$ 46.75 |
| | 2/18/2021 | PFDRU | 100 | \$ 10.53 | \$ 1,052.50 | \$ 47.38 |
| | 2/18/2021 | PFDRU | 100 | \$ 10.53 | \$ 1,052.50 | \$ 47.38 |
| | 2/18/2021 | PFDRU | 100 | \$ 10.52 | \$ 1,052.00 | \$ 47.40 |
| | 2/18/2021 | CENHU | 100 | \$ 10.49 | \$ 1,049.00 | \$ 47.55 |
| | 2/18/2021 | GHACU | 100 | \$ 10.48 | \$ 1,048.00 | \$ 47.60 |
| | 2/18/2021 | CENHU | 100 | \$ 10.45 | \$ 1,045.00 | \$ 47.75 |
| | 2/18/2021 | SHACU | 100 | \$ 10.40 | \$ 1,040.00 | \$ 48.00 |
| | 2/18/2021 | VENAU | 100 | \$ 10.38 | \$ 1,037.50 | \$ 48.13 |
| | 2/18/2021 | VENAU | 100 | \$ 10.36 | \$ 1,036.00 | \$ 48.20 |
| | 2/18/2021 | MSACU | 100 | \$ 10.34 | \$ 1,033.50 | \$ 48.33 |
| | 2/18/2021 | FOREU | 100 | \$ 10.33 | \$ 1,033.01 | \$ 48.35 |
| | 2/18/2021 | MSACU | 100 | \$ 10.33 | \$ 1,032.50 | \$ 48.38 |
| | 2/18/2021 | MSACU | 100 | \$ 10.33 | \$ 1,032.50 | \$ 48.38 |
| | 2/18/2021 | FOREU | 100 | \$ 10.30 | \$ 1,030.03 | \$ 48.50 |
| | 2/18/2021 | FOREU | 100 | \$ 10.30 | \$ 1,030.03 | \$ 48.50 |
| | 2/18/2021 | MSACU | 100 | \$ 10.30 | \$ 1,030.03 | \$ 48.50 |
| | 2/18/2021 | MSACU | 100 | \$ 10.30 | \$ 1,030.00 | \$ 48.50 |
| | 2/18/2021 | FOREU | 100 | \$ 10.30 | \$ 1,030.00 | \$ 48.50 |
| | 2/18/2021 | PGRWU | 100 | \$ 10.27 | \$ 1,027.00 | \$ 48.65 |
| | 2/18/2021 | BITEU | 100 | \$ 10.24 | \$ 1,023.50 | \$ 48.83 |
| | 2/18/2021 | BITEU | 100 | \$ 10.23 | \$ 1,023.00 | \$ 48.85 |
| | 2/18/2021 | BITEU | 100 | \$ 10.23 | \$ 1,022.50 | \$ 48.88 |
| | 2/18/2021 | BITEU | 100 | \$ 10.22 | \$ 1,022.00 | \$ 48.90 |
| | 2/18/2021 | ASAXU | 100 | \$ 10.22 | \$ 1,021.50 | \$ 48.93 |
| | 2/18/2021 | ASAXU | 100 | \$ 10.22 | \$ 1,021.50 | \$ 48.93 |
| | 2/18/2021 | ASAXU | 100 | \$ 10.22 | \$ 1,021.50 | \$ 48.93 |
| | 2/18/2021 | ASAXU | 100 | \$ 10.21 | \$ 1,021.00 | \$ 48.95 |
| | 2/18/2021 | QFTAU | 100 | \$ 10.21 | \$ 1,020.84 | \$ 48.96 |
| | 2/18/2021 | KIIIU | 100 | \$ 10.20 | \$ 1,020.00 | \$ 49.00 |
| | 2/18/2021 | ASAXU | 100 | \$ 10.19 | \$ 1,019.00 | \$ 49.05 |
| | 2/18/2021 | QFTAU | 100 | \$ 10.19 | \$ 1,019.00 | \$ 49.05 |
| | 2/18/2021 | KIIIU | 100 | \$ 10.13 | \$ 1,013.00 | \$ 49.35 |
| | 2/19/2021 | BENEU | 100 | \$ 11.10 | \$ 1,110.00 | \$ 44.50 |
| | 2/19/2021 | BRPMU | 100 | \$ 10.87 | \$ 1,087.00 | \$ 45.65 |
| | 2/19/2021 | BRPMU | 100 | \$ 10.83 | \$ 1,083.00 | \$ 45.85 |
| | 2/19/2021 | CFVIU | 100 | \$ 10.60 | \$ 1,060.00 | \$ 47.00 |
| | 2/19/2021 | MACAU | 100 | \$ 10.56 | \$ 1,056.00 | \$ 47.20 |
| | 2/24/2021 | GLBLU | 100 | \$ 10.35 | \$ 1,035.00 | \$ 48.25 |
| | 2/24/2021 | GLBLU | 100 | \$ 10.35 | \$ 1,035.00 | \$ 48.25 |
| | 2/24/2021 | GLBLU | 100 | \$ 10.35 | \$ 1,035.00 | \$ 48.25 |
| | 2/24/2021 | GLBLU | 100 | \$ 10.35 | \$ 1,035.00 | \$ 48.25 |
| | 2/24/2021 | GLBLU | 100 | \$ 10.35 | \$ 1,035.00 | \$ 48.25 |

Attachment A

| Account Number | Trade Date | Symbol | Shares | Price | Principal | Restitution Amount |
|----------------|------------|--------|--------|----------|-------------|--------------------|
| | 2/24/2021 | GLBLU | 100 | \$ 10.35 | \$ 1,035.00 | \$ 48.25 |
| | 2/24/2021 | GLBLU | 100 | \$ 10.35 | \$ 1,035.00 | \$ 48.25 |
| | 2/24/2021 | GLBLU | 100 | \$ 10.35 | \$ 1,035.00 | \$ 48.25 |
| | 2/24/2021 | GLBLU | 100 | \$ 10.35 | \$ 1,035.00 | \$ 48.25 |
| | 2/24/2021 | GLBLU | 100 | \$ 10.35 | \$ 1,035.00 | \$ 48.25 |
| | 2/24/2021 | GLBLU | 100 | \$ 10.35 | \$ 1,035.00 | \$ 48.25 |
| | 2/24/2021 | GLBLU | 100 | \$ 10.35 | \$ 1,035.00 | \$ 48.25 |
| | 2/24/2021 | GLBLU | 100 | \$ 10.35 | \$ 1,035.00 | \$ 48.25 |
| | 2/24/2021 | GLBLU | 100 | \$ 10.35 | \$ 1,035.00 | \$ 48.25 |
| | 2/24/2021 | GLBLU | 100 | \$ 10.35 | \$ 1,035.00 | \$ 48.25 |
| | 2/24/2021 | GLBLU | 100 | \$ 10.35 | \$ 1,035.00 | \$ 48.25 |
| | 2/24/2021 | GLBLU | 100 | \$ 10.35 | \$ 1,035.00 | \$ 48.25 |
| | 2/25/2021 | FLMEU | 100 | \$ 10.10 | \$ 1,010.02 | \$ 49.50 |
| | 2/26/2021 | LIIU | 100 | \$ 10.10 | \$ 1,010.00 | \$ 49.50 |
| | 2/26/2021 | LIIU | 100 | \$ 10.10 | \$ 1,010.00 | \$ 49.50 |
| | 2/26/2021 | LIIU | 100 | \$ 10.10 | \$ 1,010.00 | \$ 49.50 |
| | 2/26/2021 | LIIU | 100 | \$ 10.10 | \$ 1,010.00 | \$ 49.50 |
| | 2/26/2021 | LIIU | 100 | \$ 10.10 | \$ 1,010.00 | \$ 49.50 |
| | 2/26/2021 | LIIU | 100 | \$ 10.10 | \$ 1,010.00 | \$ 49.50 |
| | 2/26/2021 | GSEVU | 100 | \$ 10.43 | \$ 1,043.00 | \$ 47.85 |
| | 2/26/2021 | GIIXU | 100 | \$ 10.37 | \$ 1,037.01 | \$ 48.15 |
| | 2/26/2021 | GSEVU | 100 | \$ 10.35 | \$ 1,035.01 | \$ 48.25 |
| | 2/26/2021 | GSEVU | 100 | \$ 10.35 | \$ 1,035.00 | \$ 48.25 |
| | 2/26/2021 | MSACU | 100 | \$ 10.32 | \$ 1,032.30 | \$ 48.39 |
| | 2/26/2021 | CFVIU | 100 | \$ 10.19 | \$ 1,018.50 | \$ 49.08 |
| | 2/26/2021 | CFVIU | 100 | \$ 10.17 | \$ 1,017.00 | \$ 49.15 |
| | 2/26/2021 | ASAXU | 100 | \$ 10.08 | \$ 1,007.50 | \$ 49.63 |
| | 2/26/2021 | MACQU | 100 | \$ 10.03 | \$ 1,003.00 | \$ 49.85 |
| | 2/26/2021 | MACQU | 100 | \$ 10.03 | \$ 1,003.00 | \$ 49.85 |
| | 2/26/2021 | MACQU | 100 | \$ 10.03 | \$ 1,003.00 | \$ 49.85 |
| | 2/26/2021 | MACQU | 100 | \$ 10.03 | \$ 1,003.00 | \$ 49.85 |
| | 2/26/2021 | MACQU | 100 | \$ 10.03 | \$ 1,003.00 | \$ 49.85 |
| | 2/26/2021 | MACQU | 100 | \$ 10.03 | \$ 1,003.00 | \$ 49.85 |
| | 2/26/2021 | MACQU | 100 | \$ 10.03 | \$ 1,003.00 | \$ 49.85 |
| | 2/26/2021 | MACQU | 100 | \$ 10.03 | \$ 1,003.00 | \$ 49.85 |
| | 2/26/2021 | FSNBU | 100 | \$ 10.02 | \$ 1,002.00 | \$ 49.90 |
| | 2/26/2021 | FSNBU | 100 | \$ 10.02 | \$ 1,002.00 | \$ 49.90 |
| | 2/26/2021 | FSNBU | 100 | \$ 10.01 | \$ 1,001.00 | \$ 49.95 |
| | 2/26/2021 | FSNBU | 100 | \$ 10.01 | \$ 1,001.00 | \$ 49.95 |
| | 2/26/2021 | IBERU | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 2/26/2021 | WARRU | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 2/26/2021 | IBERU | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 2/26/2021 | WARRU | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 2/26/2021 | IBERU | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |

Attachment A

| Account Number | Trade Date | Symbol | Shares | Price | Principal | Restitution Amount |
|----------------|------------|--------|--------|----------|-------------|--------------------|
| | 2/26/2021 | WARRU | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 2/26/2021 | IBERU | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 2/26/2021 | AGACU | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 2/26/2021 | WARRU | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 2/26/2021 | IBERU | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 2/26/2021 | WARRU | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 2/26/2021 | WARRU | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 2/26/2021 | WARRU | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 2/26/2021 | WARRU | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 2/26/2021 | CYTHW | 500 | \$ 3.24 | \$ 1,620.00 | \$ 19.00 |
| | 2/26/2021 | IBERU | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 2/26/2021 | AGACU | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 2/26/2021 | TWLVU | 100 | \$ 9.95 | \$ 995.00 | \$ 50.25 |
| | 2/26/2021 | TWLVU | 100 | \$ 9.95 | \$ 995.00 | \$ 50.25 |
| | 3/1/2021 | FTAAU | 100 | \$ 10.49 | \$ 1,049.00 | \$ 47.55 |
| | 3/1/2021 | FTAAU | 100 | \$ 10.48 | \$ 1,047.50 | \$ 47.63 |
| | 3/1/2021 | BRPMU | 100 | \$ 10.37 | \$ 1,036.50 | \$ 48.18 |
| | 3/1/2021 | GSEVU | 100 | \$ 10.36 | \$ 1,036.00 | \$ 48.20 |
| | 3/1/2021 | BRPMU | 100 | \$ 10.33 | \$ 1,033.00 | \$ 48.35 |
| | 3/1/2021 | CFVIU | 100 | \$ 10.30 | \$ 1,029.50 | \$ 48.53 |
| | 3/1/2021 | CFVIU | 100 | \$ 10.29 | \$ 1,029.00 | \$ 48.55 |
| | 3/1/2021 | CFVIU | 100 | \$ 10.29 | \$ 1,029.00 | \$ 48.55 |
| | 3/1/2021 | CFVIU | 100 | \$ 10.28 | \$ 1,028.00 | \$ 48.60 |
| | 3/1/2021 | MITU | 100 | \$ 10.14 | \$ 1,013.50 | \$ 49.33 |
| | 3/1/2021 | EVOJU | 100 | \$ 10.08 | \$ 1,008.00 | \$ 49.60 |
| | 3/1/2021 | EJFAU | 100 | \$ 10.07 | \$ 1,007.01 | \$ 49.65 |
| | 3/1/2021 | SBEAU | 100 | \$ 10.07 | \$ 1,007.00 | \$ 49.65 |
| | 3/1/2021 | ISLEU | 100 | \$ 10.05 | \$ 1,004.50 | \$ 49.78 |
| | 3/1/2021 | FLMEU | 100 | \$ 10.02 | \$ 1,001.50 | \$ 49.93 |
| | 3/1/2021 | FLMEU | 100 | \$ 10.02 | \$ 1,001.50 | \$ 49.93 |
| | 3/1/2021 | FLMEU | 100 | \$ 10.02 | \$ 1,001.50 | \$ 49.93 |
| | 3/2/2021 | AIKI | 1,000 | \$ 1.24 | \$ 1,240.00 | \$ 38.00 |
| | 3/3/2021 | KMPH | 100 | \$ 13.43 | \$ 1,343.00 | \$ 32.85 |
| | 3/3/2021 | MCADU | 100 | \$ 10.24 | \$ 1,024.00 | \$ 48.80 |
| | 3/3/2021 | LIIU | 100 | \$ 10.08 | \$ 1,008.00 | \$ 49.60 |
| | 3/3/2021 | NNDM | 200 | \$ 9.38 | \$ 1,876.00 | \$ 6.20 |
| | 3/3/2021 | BRPMU | 100 | \$ 10.33 | \$ 1,033.00 | \$ 48.35 |
| | 3/3/2021 | BRPMU | 100 | \$ 10.30 | \$ 1,029.50 | \$ 48.53 |
| | 3/3/2021 | GIIXU | 100 | \$ 10.27 | \$ 1,026.50 | \$ 48.68 |
| | 3/3/2021 | GIIXU | 100 | \$ 10.25 | \$ 1,025.00 | \$ 48.75 |
| | 3/3/2021 | GIIXU | 100 | \$ 10.22 | \$ 1,022.00 | \$ 48.90 |
| | 3/3/2021 | CFVIU | 100 | \$ 10.21 | \$ 1,021.00 | \$ 48.95 |
| | 3/3/2021 | CFVIU | 100 | \$ 10.17 | \$ 1,017.00 | \$ 49.15 |
| | 3/3/2021 | FTAAU | 100 | \$ 10.16 | \$ 1,016.00 | \$ 49.20 |

Attachment A

| Account Number | Trade Date | Symbol | Shares | Price | Principal | Restitution Amount |
|----------------|------------|--------|--------|----------|-------------|--------------------|
| | 3/3/2021 | TCACU | 100 | \$ 10.04 | \$ 1,004.00 | \$ 49.80 |
| | 3/3/2021 | EJFAU | 100 | \$ 10.00 | \$ 1,000.03 | \$ 50.00 |
| | 3/3/2021 | EJFAU | 100 | \$ 10.00 | \$ 1,000.03 | \$ 50.00 |
| | 3/3/2021 | SBEAU | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 3/3/2021 | GLBLU | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 3/3/2021 | MACQU | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 3/3/2021 | FLMEU | 100 | \$ 9.99 | \$ 999.00 | \$ 50.05 |
| | 3/3/2021 | FLMEU | 100 | \$ 9.99 | \$ 999.00 | \$ 50.05 |
| | 3/3/2021 | FLMEU | 100 | \$ 9.99 | \$ 999.00 | \$ 50.05 |
| | 3/3/2021 | ISLEU | 100 | \$ 9.99 | \$ 998.50 | \$ 50.08 |
| | 3/3/2021 | SDH | 100 | \$ 4.02 | \$ 402.00 | \$ 79.90 |
| | 3/4/2021 | SENS | 450 | \$ 2.70 | \$ 1,212.75 | \$ 39.36 |
| | 3/4/2021 | MBACU | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 3/4/2021 | TRCAU | 100 | \$ 9.98 | \$ 998.00 | \$ 50.10 |
| | 3/4/2021 | TRCAU | 100 | \$ 9.98 | \$ 998.00 | \$ 50.10 |
| | 3/4/2021 | TRCAU | 100 | \$ 9.98 | \$ 998.00 | \$ 50.10 |
| | 3/4/2021 | TRCAU | 100 | \$ 9.98 | \$ 998.00 | \$ 50.10 |
| | 3/4/2021 | AURCU | 100 | \$ 9.98 | \$ 998.00 | \$ 50.10 |
| | 3/4/2021 | AURCU | 100 | \$ 9.95 | \$ 995.00 | \$ 50.25 |
| | 3/4/2021 | AURCU | 100 | \$ 9.95 | \$ 995.00 | \$ 50.25 |
| | 3/5/2021 | GBRGU | 100 | \$ 9.99 | \$ 999.00 | \$ 50.05 |
| | 3/5/2021 | GSEVU | 100 | \$ 10.20 | \$ 1,020.00 | \$ 49.00 |
| | 3/5/2021 | LHAA | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 3/5/2021 | LHAA | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 3/5/2021 | LHAA | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 3/5/2021 | LHAA | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 3/5/2021 | LHAA | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 3/5/2021 | LHAA | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 3/5/2021 | LHAA | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 3/5/2021 | LHAA | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 3/5/2021 | TWNTU | 100 | \$ 9.95 | \$ 995.00 | \$ 50.25 |
| | 3/8/2021 | COMSW | 1,500 | \$ 1.28 | \$ 1,912.50 | \$ 4.38 |
| | 3/8/2021 | SNIU | 100 | \$ 10.20 | \$ 1,020.09 | \$ 49.00 |
| | 3/8/2021 | SNIU | 100 | \$ 10.20 | \$ 1,020.07 | \$ 49.00 |
| | 3/8/2021 | NSTCU | 100 | \$ 10.14 | \$ 1,014.00 | \$ 49.30 |
| | 3/8/2021 | TSPQU | 100 | \$ 10.14 | \$ 1,013.50 | \$ 49.33 |
| | 3/8/2021 | ROCRU | 100 | \$ 10.06 | \$ 1,005.50 | \$ 49.73 |
| | 3/8/2021 | DHBCU | 100 | \$ 10.04 | \$ 1,003.50 | \$ 49.83 |
| | 3/8/2021 | DHBCU | 100 | \$ 10.03 | \$ 1,003.00 | \$ 49.85 |
| | 3/8/2021 | DHCAU | 100 | \$ 10.03 | \$ 1,002.50 | \$ 49.88 |
| | 3/8/2021 | ANZUU | 100 | \$ 10.02 | \$ 1,002.00 | \$ 49.90 |
| | 3/8/2021 | ANZUU | 100 | \$ 10.02 | \$ 1,002.00 | \$ 49.90 |
| | 3/8/2021 | ANZUU | 100 | \$ 10.02 | \$ 1,002.00 | \$ 49.90 |
| | 3/8/2021 | ANZUU | 100 | \$ 10.02 | \$ 1,002.00 | \$ 49.90 |
| | 3/8/2021 | DHCAU | 100 | \$ 10.02 | \$ 1,002.00 | \$ 49.90 |

Attachment A

| Account Number | Trade Date | Symbol | Shares | Price | Principal | Restitution Amount |
|----------------|------------|--------|--------|----------|-------------|--------------------|
| | 3/8/2021 | FTEVU | 100 | \$ 10.01 | \$ 1,001.00 | \$ 49.95 |
| | 3/8/2021 | FTAAU | 100 | \$ 10.43 | \$ 1,043.00 | \$ 47.85 |
| | 3/8/2021 | GSEVU | 100 | \$ 10.38 | \$ 1,038.00 | \$ 48.10 |
| | 3/8/2021 | GIIXU | 100 | \$ 10.21 | \$ 1,021.00 | \$ 48.95 |
| | 3/8/2021 | BRPMU | 100 | \$ 10.20 | \$ 1,020.00 | \$ 49.00 |
| | 3/8/2021 | BRPMU | 100 | \$ 10.19 | \$ 1,019.00 | \$ 49.05 |
| | 3/8/2021 | CFVIU | 100 | \$ 10.15 | \$ 1,014.50 | \$ 49.28 |
| | 3/8/2021 | CFVIU | 100 | \$ 10.14 | \$ 1,014.00 | \$ 49.30 |
| | 3/8/2021 | CFVIU | 100 | \$ 10.14 | \$ 1,014.00 | \$ 49.30 |
| | 3/8/2021 | CFVIU | 100 | \$ 10.14 | \$ 1,014.00 | \$ 49.30 |
| | 3/8/2021 | ISLEU | 100 | \$ 10.12 | \$ 1,011.50 | \$ 49.43 |
| | 3/8/2021 | FLMEU | 100 | \$ 10.05 | \$ 1,005.01 | \$ 49.75 |
| | 3/8/2021 | EJFAU | 100 | \$ 10.05 | \$ 1,005.00 | \$ 49.75 |
| | 3/8/2021 | MBACU | 100 | \$ 10.05 | \$ 1,005.00 | \$ 49.75 |
| | 3/8/2021 | EJFAU | 100 | \$ 10.04 | \$ 1,004.00 | \$ 49.80 |
| | 3/8/2021 | FLMEU | 100 | \$ 10.04 | \$ 1,004.00 | \$ 49.80 |
| | 3/8/2021 | EJFAU | 100 | \$ 10.03 | \$ 1,003.00 | \$ 49.85 |
| | 3/8/2021 | AURCU | 100 | \$ 10.01 | \$ 1,001.00 | \$ 49.95 |
| | 3/9/2021 | EYES | 25 | \$ 17.61 | \$ 440.25 | \$ 77.99 |
| | 3/10/2021 | VAQC | 100 | \$ 10.10 | \$ 1,010.00 | \$ 49.50 |
| | 3/10/2021 | CLAAU | 100 | \$ 10.01 | \$ 1,001.00 | \$ 49.95 |
| | 3/10/2021 | DOCU | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 3/10/2021 | FRWAU | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 3/10/2021 | DOCU | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 3/10/2021 | FRWAU | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 3/10/2021 | DOCU | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 3/10/2021 | FRWAU | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 3/10/2021 | DOCU | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 3/11/2021 | GAPAU | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 3/11/2021 | GAPAU | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 3/11/2021 | GAPAU | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 3/11/2021 | GAPAU | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 3/11/2021 | ATSPU | 100 | \$ 9.95 | \$ 995.00 | \$ 50.25 |
| | 3/11/2021 | ATSPU | 100 | \$ 9.95 | \$ 995.00 | \$ 50.25 |
| | 3/11/2021 | ATSPU | 100 | \$ 9.95 | \$ 995.00 | \$ 50.25 |
| | 3/12/2021 | ENTXW | 2,000 | \$ 1.03 | \$ 2,062.98 | \$ 58.50 |
| | 3/12/2021 | GTPAU | 100 | \$ 10.20 | \$ 1,020.00 | \$ 49.00 |
| | 3/12/2021 | GTPBU | 100 | \$ 10.10 | \$ 1,010.00 | \$ 49.50 |
| | 3/15/2021 | SACH | 296 | \$ 4.85 | \$ 1,435.60 | \$ 28.22 |
| | 3/16/2021 | GBRGU | 100 | \$ 10.07 | \$ 1,007.41 | \$ 49.63 |
| | 3/16/2021 | BLTSU | 100 | \$ 10.25 | \$ 1,024.54 | \$ 48.77 |
| | 3/16/2021 | GBRGU | 100 | \$ 10.07 | \$ 1,007.33 | \$ 49.63 |
| | 3/16/2021 | GBRGU | 100 | \$ 10.07 | \$ 1,007.33 | \$ 49.63 |
| | 3/16/2021 | NSTCU | 100 | \$ 10.02 | \$ 1,002.45 | \$ 49.88 |

Attachment A

| Account Number | Trade Date | Symbol | Shares | Price | Principal | Restitution Amount |
|----------------|------------|--------|--------|----------|-------------|--------------------|
| | 3/16/2021 | FVIVU | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 3/16/2021 | FVIVU | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 3/16/2021 | FVIVU | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 3/16/2021 | NSTDU | 100 | \$ 9.99 | \$ 999.28 | \$ 50.04 |
| | 3/16/2021 | DHBCU | 100 | \$ 9.99 | \$ 999.23 | \$ 50.04 |
| | 3/16/2021 | AMC | 100 | \$ 13.03 | \$ 1,303.38 | \$ 34.83 |
| | 3/16/2021 | BAOS | 200 | \$ 6.51 | \$ 1,302.06 | \$ 34.90 |
| | 3/16/2021 | ASPLU | 100 | \$ 10.93 | \$ 1,092.52 | \$ 45.37 |
| | 3/16/2021 | FTAAU | 100 | \$ 10.41 | \$ 1,040.67 | \$ 47.97 |
| | 3/16/2021 | SVFC | 100 | \$ 10.39 | \$ 1,039.01 | \$ 48.05 |
| | 3/16/2021 | SVFC | 100 | \$ 10.39 | \$ 1,038.53 | \$ 48.07 |
| | 3/16/2021 | GTPAU | 100 | \$ 10.17 | \$ 1,016.52 | \$ 49.17 |
| | 3/17/2021 | GT | 100 | \$ 17.22 | \$ 1,721.57 | \$ 13.92 |
| | 3/17/2021 | JWEL | 100 | \$ 9.30 | \$ 930.25 | \$ 53.49 |
| | 3/17/2021 | VIHAU | 50 | \$ 15.70 | \$ 785.25 | \$ 60.74 |
| | 3/19/2021 | TBLT | 800 | \$ 1.22 | \$ 976.40 | \$ 51.18 |
| | 3/19/2021 | CGC | 45 | \$ 34.38 | \$ 1,547.10 | \$ 22.65 |
| | 3/22/2021 | AURCU | 100 | \$ 10.31 | \$ 1,031.00 | \$ 48.45 |
| | 3/22/2021 | GSEVU | 100 | \$ 10.15 | \$ 1,015.03 | \$ 49.25 |
| | 3/22/2021 | NXUU | 100 | \$ 10.10 | \$ 1,010.00 | \$ 49.50 |
| | 3/23/2021 | DLPN | 100 | \$ 11.98 | \$ 1,197.99 | \$ 40.10 |
| | 3/24/2021 | IMAC | 625 | \$ 1.58 | \$ 984.38 | \$ 50.78 |
| | 3/25/2021 | DLPN | 100 | \$ 14.85 | \$ 1,485.00 | \$ 25.75 |
| | 3/25/2021 | DLPN | 50 | \$ 17.99 | \$ 899.50 | \$ 55.03 |
| | 3/29/2021 | HYW | 200 | \$ 9.90 | \$ 1,979.00 | \$ 1.05 |
| | 3/30/2021 | EEIQ | 100 | \$ 12.06 | \$ 1,206.00 | \$ 39.70 |
| | 3/31/2021 | ANZUU | 100 | \$ 9.96 | \$ 995.50 | \$ 50.23 |
| | 3/31/2021 | DHBCU | 100 | \$ 9.91 | \$ 991.00 | \$ 50.45 |
| | 3/31/2021 | COUR | 50 | \$ 39.00 | \$ 1,950.00 | \$ 2.50 |
| | 3/31/2021 | COUR | 50 | \$ 39.00 | \$ 1,950.00 | \$ 2.50 |
| | 3/31/2021 | MBTCU | 100 | \$ 10.01 | \$ 1,001.00 | \$ 49.95 |
| | 3/31/2021 | MBTCU | 100 | \$ 10.01 | \$ 1,001.00 | \$ 49.95 |
| | 3/31/2021 | MBTCU | 100 | \$ 10.01 | \$ 1,001.00 | \$ 49.95 |
| | 3/31/2021 | MBTCU | 100 | \$ 10.01 | \$ 1,001.00 | \$ 49.95 |
| | 3/31/2021 | MBTCU | 100 | \$ 10.01 | \$ 1,001.00 | \$ 49.95 |
| | 4/5/2021 | LIZI | 100 | \$ 8.26 | \$ 825.50 | \$ 58.73 |
| | 4/6/2021 | MUX | 1,500 | \$ 1.12 | \$ 1,680.00 | \$ 16.00 |
| | 4/7/2021 | QQQX | 52 | \$ 27.98 | \$ 1,454.95 | \$ 27.25 |
| | 4/7/2021 | QQQX | 50 | \$ 27.95 | \$ 1,397.50 | \$ 30.13 |
| | 4/7/2021 | QQQX | 50 | \$ 27.98 | \$ 1,399.00 | \$ 30.05 |
| | 4/7/2021 | QQQX | 50 | \$ 27.95 | \$ 1,397.50 | \$ 30.13 |
| | 4/7/2021 | QQQX | 50 | \$ 27.95 | \$ 1,397.50 | \$ 30.13 |
| | 4/8/2021 | VERY | 50 | \$ 19.47 | \$ 973.50 | \$ 51.33 |
| | 4/9/2021 | TPGS | 100 | \$ 10.10 | \$ 1,010.00 | \$ 49.50 |

Attachment A

| Account Number | Trade Date | Symbol | Shares | Price | Principal | Restitution Amount |
|----------------|------------|--------|--------|----------|-------------|--------------------|
| | 4/9/2021 | TPGS | 100 | \$ 10.10 | \$ 1,010.00 | \$ 49.50 |
| | 4/9/2021 | TPGS | 100 | \$ 10.10 | \$ 1,010.00 | \$ 49.50 |
| | 4/9/2021 | TPGS | 100 | \$ 10.10 | \$ 1,010.00 | \$ 49.50 |
| | 4/9/2021 | TPGS | 100 | \$ 10.10 | \$ 1,010.00 | \$ 49.50 |
| | 4/9/2021 | TPGS | 100 | \$ 10.10 | \$ 1,010.00 | \$ 49.50 |
| | 4/9/2021 | TPGS | 100 | \$ 10.10 | \$ 1,010.00 | \$ 49.50 |
| | 4/9/2021 | GLSPU | 100 | \$ 9.97 | \$ 997.00 | \$ 50.15 |
| | 4/9/2021 | GLSPU | 100 | \$ 9.97 | \$ 997.00 | \$ 50.15 |
| | 4/9/2021 | GLSPU | 100 | \$ 9.97 | \$ 997.00 | \$ 50.15 |
| | 4/9/2021 | GLSPU | 100 | \$ 9.97 | \$ 997.00 | \$ 50.15 |
| | 4/9/2021 | CELC | 30 | \$ 21.82 | \$ 654.60 | \$ 67.27 |
| | 4/14/2021 | MPACU | 100 | \$ 10.14 | \$ 1,014.07 | \$ 49.30 |
| | 4/14/2021 | PANA | 100 | \$ 10.00 | \$ 1,000.04 | \$ 50.00 |
| | 4/15/2021 | EBET | 50 | \$ 29.60 | \$ 1,480.00 | \$ 26.00 |
| | 4/15/2021 | EBET | 50 | \$ 28.64 | \$ 1,432.00 | \$ 28.40 |
| | 4/15/2021 | DLPN | 50 | \$ 9.06 | \$ 453.01 | \$ 77.35 |
| | 4/20/2021 | CELC | 30 | \$ 23.29 | \$ 698.70 | \$ 65.07 |
| | 4/20/2021 | CLOV | 100 | \$ 8.57 | \$ 857.00 | \$ 57.15 |
| | 4/20/2021 | AEVA | 100 | \$ 8.88 | \$ 888.00 | \$ 55.60 |
| | 4/20/2021 | ATSPU | 100 | \$ 9.91 | \$ 991.00 | \$ 50.45 |
| | 4/20/2021 | BGSXU | 100 | \$ 9.94 | \$ 993.50 | \$ 50.33 |
| | 4/20/2021 | FOREU | 100 | \$ 9.95 | \$ 995.00 | \$ 50.25 |
| | 4/20/2021 | FSNBU | 100 | \$ 9.96 | \$ 996.00 | \$ 50.20 |
| | 4/20/2021 | KSICU | 100 | \$ 9.98 | \$ 997.50 | \$ 50.13 |
| | 4/20/2021 | FLMEU | 100 | \$ 9.98 | \$ 998.00 | \$ 50.10 |
| | 4/20/2021 | GLBLU | 100 | \$ 9.99 | \$ 999.03 | \$ 50.05 |
| | 4/20/2021 | GLBLU | 100 | \$ 9.99 | \$ 999.03 | \$ 50.05 |
| | 4/20/2021 | CFVIU | 100 | \$ 10.00 | \$ 999.50 | \$ 50.03 |
| | 4/20/2021 | AURCU | 100 | \$ 10.01 | \$ 1,001.00 | \$ 49.95 |
| | 4/20/2021 | AURCU | 100 | \$ 10.01 | \$ 1,001.00 | \$ 49.95 |
| | 4/20/2021 | MACAU | 100 | \$ 10.01 | \$ 1,001.01 | \$ 49.95 |
| | 4/20/2021 | AKICU | 100 | \$ 10.02 | \$ 1,002.01 | \$ 49.90 |
| | 4/20/2021 | BRPMU | 100 | \$ 10.04 | \$ 1,003.50 | \$ 49.83 |
| | 4/20/2021 | GSEVU | 100 | \$ 10.07 | \$ 1,007.04 | \$ 49.65 |
| | 4/20/2021 | GMBTU | 100 | \$ 10.11 | \$ 1,011.01 | \$ 49.45 |
| | 4/20/2021 | ACNDU | 100 | \$ 10.31 | \$ 1,031.00 | \$ 48.45 |
| | 4/20/2021 | GBRGU | 100 | \$ 10.36 | \$ 1,036.00 | \$ 48.20 |
| | 4/20/2021 | TRKAW | 2,000 | \$ 0.58 | \$ 1,160.00 | \$ 42.00 |
| | 4/20/2021 | TRKAW | 2,000 | \$ 0.58 | \$ 1,160.00 | \$ 42.00 |
| | 4/21/2021 | DV | 50 | \$ 34.14 | \$ 1,707.00 | \$ 14.65 |
| | 4/23/2021 | IMPL | 100 | \$ 15.31 | \$ 1,531.00 | \$ 23.45 |
| | 4/23/2021 | IMPL | 100 | \$ 15.31 | \$ 1,531.00 | \$ 23.45 |
| | 4/23/2021 | IMPL | 100 | \$ 15.31 | \$ 1,531.00 | \$ 23.45 |
| | 4/23/2021 | IMPL | 100 | \$ 15.31 | \$ 1,531.00 | \$ 23.45 |

Attachment A

| Account Number | Trade Date | Symbol | Shares | Price | Principal | Restitution Amount |
|----------------|------------|--------|--------|-----------|-------------|--------------------|
| | 4/23/2021 | IMPL | 100 | \$ 15.31 | \$ 1,531.00 | \$ 23.45 |
| | 4/23/2021 | IMPL | 100 | \$ 15.31 | \$ 1,531.00 | \$ 23.45 |
| | 4/23/2021 | IMPL | 100 | \$ 15.31 | \$ 1,531.00 | \$ 23.45 |
| | 4/23/2021 | IMPL | 100 | \$ 15.31 | \$ 1,531.00 | \$ 23.45 |
| | 4/23/2021 | IMPL | 100 | \$ 15.31 | \$ 1,531.00 | \$ 23.45 |
| | 4/23/2021 | IMPL | 100 | \$ 15.31 | \$ 1,531.00 | \$ 23.45 |
| | 4/23/2021 | IMPL | 100 | \$ 15.31 | \$ 1,531.00 | \$ 23.45 |
| | 4/23/2021 | IMPL | 100 | \$ 15.31 | \$ 1,531.00 | \$ 23.45 |
| | 4/23/2021 | IMPL | 100 | \$ 15.31 | \$ 1,531.00 | \$ 23.45 |
| | 4/23/2021 | IMPL | 100 | \$ 15.31 | \$ 1,531.00 | \$ 23.45 |
| | 4/23/2021 | IMPL | 100 | \$ 15.31 | \$ 1,531.00 | \$ 23.45 |
| | 4/23/2021 | IMPL | 100 | \$ 15.31 | \$ 1,531.00 | \$ 23.45 |
| | 4/28/2021 | AAPL | 10 | \$ 133.90 | \$ 1,338.96 | \$ 33.05 |
| | 4/29/2021 | TUGCU | 100 | \$ 9.80 | \$ 980.00 | \$ 51.00 |
| | 4/29/2021 | TUGCU | 100 | \$ 9.80 | \$ 980.00 | \$ 51.00 |
| | 4/29/2021 | TUGCU | 100 | \$ 9.80 | \$ 980.00 | \$ 51.00 |
| | 4/29/2021 | TUGCU | 100 | \$ 9.80 | \$ 980.00 | \$ 51.00 |
| | 4/29/2021 | TUGCU | 100 | \$ 9.80 | \$ 980.00 | \$ 51.00 |
| | 4/29/2021 | TUGCU | 100 | \$ 9.80 | \$ 980.00 | \$ 51.00 |
| | 4/29/2021 | TUGCU | 100 | \$ 9.80 | \$ 980.00 | \$ 51.00 |
| | 4/29/2021 | TUGCU | 100 | \$ 9.80 | \$ 980.00 | \$ 51.00 |
| | 4/29/2021 | TUGCU | 100 | \$ 9.80 | \$ 980.00 | \$ 51.00 |
| | 4/29/2021 | TUGCU | 100 | \$ 9.80 | \$ 980.00 | \$ 51.00 |
| | 4/29/2021 | TUGCU | 100 | \$ 9.80 | \$ 980.00 | \$ 51.00 |
| | 4/29/2021 | TUGCU | 100 | \$ 9.80 | \$ 980.00 | \$ 51.00 |
| | 4/29/2021 | TUGCU | 100 | \$ 9.80 | \$ 980.00 | \$ 51.00 |
| | 4/29/2021 | TUGCU | 100 | \$ 9.80 | \$ 980.00 | \$ 51.00 |
| | 4/29/2021 | TUGCU | 100 | \$ 9.80 | \$ 980.00 | \$ 51.00 |
| | 4/29/2021 | TUGCU | 100 | \$ 9.80 | \$ 980.00 | \$ 51.00 |
| | 4/29/2021 | IMPL | 100 | \$ 15.00 | \$ 1,500.00 | \$ 25.00 |
| | 4/29/2021 | IMPL | 100 | \$ 15.00 | \$ 1,500.00 | \$ 25.00 |
| | 4/29/2021 | IMPL | 100 | \$ 15.06 | \$ 1,506.00 | \$ 24.70 |
| | 4/30/2021 | CNSP | 750 | \$ 2.02 | \$ 1,515.00 | \$ 24.25 |
| | 5/4/2021 | VLATU | 100 | \$ 10.10 | \$ 1,010.00 | \$ 49.50 |
| | 5/4/2021 | VLATU | 100 | \$ 10.12 | \$ 1,012.00 | \$ 49.40 |
| | 5/4/2021 | VLATU | 100 | \$ 10.12 | \$ 1,012.00 | \$ 49.40 |
| | 5/4/2021 | VLATU | 100 | \$ 10.12 | \$ 1,012.00 | \$ 49.40 |
| | 5/4/2021 | VLATU | 100 | \$ 10.12 | \$ 1,012.00 | \$ 49.40 |
| | 5/4/2021 | VLATU | 100 | \$ 10.12 | \$ 1,012.00 | \$ 49.40 |
| | 5/4/2021 | VLATU | 100 | \$ 10.12 | \$ 1,012.00 | \$ 49.40 |
| | 5/4/2021 | VLATU | 100 | \$ 10.12 | \$ 1,012.00 | \$ 49.40 |
| | 5/4/2021 | VLATU | 100 | \$ 10.12 | \$ 1,012.00 | \$ 49.40 |
| | 5/4/2021 | VLATU | 100 | \$ 10.12 | \$ 1,012.00 | \$ 49.40 |
| | 5/4/2021 | VLATU | 100 | \$ 10.12 | \$ 1,012.00 | \$ 49.40 |
| | 5/6/2021 | FHS | 250 | \$ 6.68 | \$ 1,670.00 | \$ 16.50 |

Attachment A

| Account Number | Trade Date | Symbol | Shares | Price | Principal | Restitution Amount |
|----------------|------------|--------|--------|----------|-------------|--------------------|
| | 5/7/2021 | BRIVU | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 5/7/2021 | BRIVU | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 5/7/2021 | BRIVU | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 5/7/2021 | DKDCU | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 5/7/2021 | BRIVU | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 5/7/2021 | DKDCU | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 5/7/2021 | DKDCU | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 5/7/2021 | DKDCU | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 5/7/2021 | BRIVU | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 5/7/2021 | BRIVU | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 5/7/2021 | DKDCU | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 5/7/2021 | BRIVU | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 5/7/2021 | DKDCU | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 5/7/2021 | BRIVU | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 5/7/2021 | DKDCU | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 5/7/2021 | BRIVU | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 5/7/2021 | DKDCU | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 5/7/2021 | DKDCU | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 5/7/2021 | BRIVU | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 5/7/2021 | DKDCU | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 5/7/2021 | DKDCU | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 5/10/2021 | IMAC | 1,100 | \$ 1.80 | \$ 1,980.00 | \$ 1.00 |
| | 5/11/2021 | FLGC | 300 | \$ 5.50 | \$ 1,650.00 | \$ 17.50 |
| | 5/12/2021 | IPW | 100 | \$ 5.66 | \$ 566.00 | \$ 71.70 |
| | 5/12/2021 | IPW | 100 | \$ 5.66 | \$ 566.00 | \$ 71.70 |
| | 5/12/2021 | IPW | 100 | \$ 5.66 | \$ 566.00 | \$ 71.70 |
| | 5/12/2021 | IPW | 100 | \$ 5.66 | \$ 566.00 | \$ 71.70 |
| | 5/12/2021 | IPW | 100 | \$ 5.66 | \$ 566.00 | \$ 71.70 |
| | 5/12/2021 | IPW | 100 | \$ 6.35 | \$ 635.00 | \$ 68.25 |
| | 5/12/2021 | IPW | 300 | \$ 6.50 | \$ 1,950.00 | \$ 2.50 |
| | 5/13/2021 | ORIAU | 100 | \$ 10.05 | \$ 1,005.00 | \$ 49.75 |
| | 5/13/2021 | ORIAU | 100 | \$ 10.05 | \$ 1,005.00 | \$ 49.75 |
| | 5/13/2021 | ORIAU | 100 | \$ 10.05 | \$ 1,005.00 | \$ 49.75 |
| | 5/13/2021 | ORIAU | 100 | \$ 10.05 | \$ 1,005.00 | \$ 49.75 |
| | 5/13/2021 | ORIAU | 100 | \$ 10.05 | \$ 1,005.00 | \$ 49.75 |
| | 5/13/2021 | ORIAU | 100 | \$ 10.05 | \$ 1,005.00 | \$ 49.75 |
| | 5/13/2021 | ORIAU | 100 | \$ 10.05 | \$ 1,005.00 | \$ 49.75 |
| | 5/14/2021 | DBGIW | 2,000 | \$ 0.40 | \$ 800.00 | \$ 60.00 |
| | 5/18/2021 | KBNTW | 200 | \$ 1.94 | \$ 387.00 | \$ 80.65 |
| | 5/21/2021 | RAIN | 50 | \$ 15.60 | \$ 780.01 | \$ 61.00 |
| | 5/24/2021 | TIOAU | 100 | \$ 9.98 | \$ 998.03 | \$ 50.10 |
| | 5/24/2021 | BTWNU | 100 | \$ 10.69 | \$ 1,069.00 | \$ 46.55 |
| | 5/24/2021 | STICU | 100 | \$ 10.77 | \$ 1,077.00 | \$ 46.15 |
| | 5/25/2021 | KBNTW | 1,000 | \$ 1.73 | \$ 1,734.47 | \$ 13.28 |

Attachment A

| Account Number | Trade Date | Symbol | Shares | Price | Principal | Restitution Amount |
|----------------|------------|--------|--------|----------|-------------|--------------------|
| | 5/25/2021 | KBNTW | 1,000 | \$ 1.84 | \$ 1,840.00 | \$ 8.00 |
| | 6/3/2021 | BB | 60 | \$ 18.97 | \$ 1,138.20 | \$ 43.09 |
| | 6/3/2021 | AMC | 25 | \$ 56.71 | \$ 1,417.86 | \$ 29.11 |
| | 6/3/2021 | GGN | 400 | \$ 4.16 | \$ 1,664.60 | \$ 16.77 |
| | 6/4/2021 | IMAC | 750 | \$ 2.28 | \$ 1,710.00 | \$ 14.50 |
| | 6/10/2021 | OSAT | 100 | \$ 7.04 | \$ 703.50 | \$ 64.83 |
| | 6/10/2021 | DXLG | 500 | \$ 3.66 | \$ 1,830.00 | \$ 8.50 |
| | 6/11/2021 | BTU | 200 | \$ 9.41 | \$ 1,882.00 | \$ 5.90 |
| | 6/16/2021 | VTRS | 124 | \$ 15.27 | \$ 1,893.83 | \$ 5.31 |
| | 6/17/2021 | ORPH | 100 | \$ 15.80 | \$ 1,579.95 | \$ 21.00 |
| | 6/21/2021 | GCACU | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 6/21/2021 | AMAOU | 100 | \$ 10.09 | \$ 1,009.00 | \$ 49.55 |
| | 6/21/2021 | MAQCU | 100 | \$ 10.11 | \$ 1,010.50 | \$ 49.48 |
| | 6/21/2021 | ARTL | 1,625 | \$ 1.14 | \$ 1,855.25 | \$ 7.24 |
| | 6/24/2021 | BON | 100 | \$ 7.94 | \$ 794.00 | \$ 60.30 |
| | 6/24/2021 | BON | 100 | \$ 7.94 | \$ 794.00 | \$ 60.30 |
| | 6/24/2021 | BON | 100 | \$ 7.94 | \$ 794.00 | \$ 60.30 |
| | 6/24/2021 | BON | 100 | \$ 7.94 | \$ 794.00 | \$ 60.30 |
| | 6/24/2021 | BON | 100 | \$ 7.94 | \$ 794.00 | \$ 60.30 |
| | 6/24/2021 | BON | 100 | \$ 7.94 | \$ 794.00 | \$ 60.30 |
| | 6/24/2021 | BON | 100 | \$ 7.94 | \$ 794.00 | \$ 60.30 |
| | 6/24/2021 | BON | 100 | \$ 7.94 | \$ 794.00 | \$ 60.30 |
| | 6/24/2021 | BON | 100 | \$ 7.94 | \$ 794.00 | \$ 60.30 |
| | 6/24/2021 | BON | 100 | \$ 7.94 | \$ 794.00 | \$ 60.30 |
| | 6/24/2021 | BON | 100 | \$ 7.94 | \$ 794.00 | \$ 60.30 |
| | 6/24/2021 | BON | 100 | \$ 7.94 | \$ 794.00 | \$ 60.30 |
| | 6/24/2021 | BON | 100 | \$ 7.94 | \$ 794.00 | \$ 60.30 |
| | 6/24/2021 | BON | 100 | \$ 7.94 | \$ 794.00 | \$ 60.30 |
| | 6/24/2021 | BON | 100 | \$ 7.94 | \$ 794.00 | \$ 60.30 |
| | 6/24/2021 | BON | 100 | \$ 7.94 | \$ 794.00 | \$ 60.30 |
| | 6/24/2021 | BON | 100 | \$ 7.94 | \$ 794.00 | \$ 60.30 |
| | 6/24/2021 | BON | 100 | \$ 7.94 | \$ 794.00 | \$ 60.30 |
| | 6/24/2021 | BON | 100 | \$ 7.94 | \$ 794.00 | \$ 60.30 |
| | 6/24/2021 | NLITU | 100 | \$ 10.04 | \$ 1,003.52 | \$ 49.82 |
| | 6/24/2021 | NLITU | 100 | \$ 10.04 | \$ 1,003.52 | \$ 49.82 |
| | 6/24/2021 | NLITU | 100 | \$ 10.04 | \$ 1,004.36 | \$ 49.78 |
| | 6/24/2021 | NLITU | 100 | \$ 10.04 | \$ 1,004.36 | \$ 49.78 |
| | 6/24/2021 | NLITU | 100 | \$ 10.04 | \$ 1,004.37 | \$ 49.78 |
| | 6/24/2021 | NLITU | 100 | \$ 10.04 | \$ 1,004.37 | \$ 49.78 |
| | 6/24/2021 | NLITU | 100 | \$ 10.04 | \$ 1,004.37 | \$ 49.78 |
| | 6/24/2021 | NLITU | 100 | \$ 10.04 | \$ 1,004.37 | \$ 49.78 |
| | 6/24/2021 | NLITU | 100 | \$ 10.04 | \$ 1,004.37 | \$ 49.78 |
| | 6/24/2021 | FTVIU | 100 | \$ 10.08 | \$ 1,008.00 | \$ 49.60 |
| | 6/24/2021 | FTVIU | 100 | \$ 10.08 | \$ 1,008.00 | \$ 49.60 |
| | 6/24/2021 | FTVIU | 100 | \$ 10.08 | \$ 1,008.00 | \$ 49.60 |

Attachment A

| Account Number | Trade Date | Symbol | Shares | Price | Principal | Restitution Amount |
|----------------|------------|--------|--------|----------|-------------|--------------------|
| | 6/24/2021 | FTVIU | 100 | \$ 10.08 | \$ 1,008.00 | \$ 49.60 |
| | 6/24/2021 | FTVIU | 100 | \$ 10.08 | \$ 1,008.00 | \$ 49.60 |
| | 6/24/2021 | FTVIU | 100 | \$ 10.08 | \$ 1,008.00 | \$ 49.60 |
| | 6/24/2021 | FTVIU | 100 | \$ 10.08 | \$ 1,008.00 | \$ 49.60 |
| | 6/24/2021 | FTVIU | 100 | \$ 10.08 | \$ 1,008.00 | \$ 49.60 |
| | 6/24/2021 | FTVIU | 100 | \$ 10.08 | \$ 1,008.00 | \$ 49.60 |
| | 6/24/2021 | FTVIU | 100 | \$ 10.08 | \$ 1,008.00 | \$ 49.60 |
| | 6/24/2021 | FTVIU | 100 | \$ 10.08 | \$ 1,008.00 | \$ 49.60 |
| | 6/24/2021 | FTVIU | 100 | \$ 10.08 | \$ 1,008.00 | \$ 49.60 |
| | 6/24/2021 | FTVIU | 100 | \$ 10.08 | \$ 1,008.00 | \$ 49.60 |
| | 6/24/2021 | FTVIU | 100 | \$ 10.08 | \$ 1,008.00 | \$ 49.60 |
| | 6/24/2021 | FTVIU | 100 | \$ 10.08 | \$ 1,008.00 | \$ 49.60 |
| | 6/24/2021 | FTVIU | 100 | \$ 10.08 | \$ 1,008.00 | \$ 49.60 |
| | 6/24/2021 | FTVIU | 100 | \$ 10.08 | \$ 1,008.00 | \$ 49.60 |
| | 6/24/2021 | FTVIU | 100 | \$ 10.08 | \$ 1,008.00 | \$ 49.60 |
| | 6/24/2021 | FTVIU | 100 | \$ 10.08 | \$ 1,008.00 | \$ 49.60 |
| | 6/24/2021 | FTVIU | 100 | \$ 10.08 | \$ 1,008.00 | \$ 49.60 |
| | 6/24/2021 | NLITU | 100 | \$ 10.08 | \$ 1,008.01 | \$ 49.60 |
| | 6/24/2021 | NLITU | 100 | \$ 10.08 | \$ 1,008.01 | \$ 49.60 |
| | 6/24/2021 | NLITU | 100 | \$ 10.08 | \$ 1,008.01 | \$ 49.60 |
| | 6/24/2021 | NLITU | 100 | \$ 10.08 | \$ 1,008.01 | \$ 49.60 |
| | 6/24/2021 | MIRO | 100 | \$ 11.61 | \$ 1,161.00 | \$ 41.95 |
| | 6/28/2021 | WISH | 100 | \$ 15.04 | \$ 1,503.75 | \$ 24.81 |
| | 6/28/2021 | WISH | 100 | \$ 15.07 | \$ 1,507.00 | \$ 24.65 |
| | 6/29/2021 | IFBD | 200 | \$ 5.58 | \$ 1,115.00 | \$ 44.25 |
| | 6/29/2021 | GBTC | 50 | \$ 30.97 | \$ 1,548.50 | \$ 22.58 |
| | 6/29/2021 | RIOT | 50 | \$ 38.52 | \$ 1,926.01 | \$ 3.70 |
| | 6/30/2021 | RCRTW | 500 | \$ 1.50 | \$ 750.00 | \$ 62.50 |
| | 6/30/2021 | SHQAU | 100 | \$ 9.95 | \$ 995.00 | \$ 50.25 |
| | 6/30/2021 | SHQAU | 100 | \$ 9.95 | \$ 995.00 | \$ 50.25 |
| | 6/30/2021 | SHQAU | 100 | \$ 9.95 | \$ 995.00 | \$ 50.25 |
| | 6/30/2021 | SHQAU | 100 | \$ 9.95 | \$ 995.00 | \$ 50.25 |
| | 6/30/2021 | RCRTW | 1,399 | \$ 1.20 | \$ 1,678.80 | \$ 16.06 |
| | 7/1/2021 | RCRTW | 500 | \$ 1.55 | \$ 775.00 | \$ 61.25 |
| | 7/1/2021 | FICVU | 100 | \$ 9.85 | \$ 985.00 | \$ 50.75 |
| | 7/1/2021 | FICVU | 100 | \$ 9.85 | \$ 985.00 | \$ 50.75 |
| | 7/1/2021 | FICVU | 100 | \$ 9.85 | \$ 985.00 | \$ 50.75 |
| | 7/1/2021 | FICVU | 100 | \$ 9.85 | \$ 985.00 | \$ 50.75 |
| | 7/1/2021 | FICVU | 100 | \$ 9.85 | \$ 985.00 | \$ 50.75 |
| | 7/1/2021 | FICVU | 100 | \$ 9.85 | \$ 985.00 | \$ 50.75 |
| | 7/1/2021 | FICVU | 100 | \$ 9.85 | \$ 985.00 | \$ 50.75 |
| | 7/1/2021 | CORSU | 100 | \$ 9.91 | \$ 991.00 | \$ 50.45 |
| | 7/1/2021 | CORSU | 100 | \$ 9.91 | \$ 991.00 | \$ 50.45 |
| | 7/1/2021 | CORSU | 100 | \$ 9.91 | \$ 991.00 | \$ 50.45 |
| | 7/1/2021 | CORSU | 100 | \$ 9.91 | \$ 991.00 | \$ 50.45 |
| | 7/1/2021 | CORSU | 100 | \$ 9.91 | \$ 991.00 | \$ 50.45 |

Attachment A

| Account Number | Trade Date | Symbol | Shares | Price | Principal | Restitution Amount |
|----------------|------------|--------|--------|----------|-------------|--------------------|
| | 7/1/2021 | CORSU | 100 | \$ 9.91 | \$ 991.00 | \$ 50.45 |
| | 7/1/2021 | DRAYU | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 7/1/2021 | DRAYU | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 7/1/2021 | DRAYU | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 7/1/2021 | GGGVU | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 7/1/2021 | DRAYU | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 7/1/2021 | GGGVU | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 7/1/2021 | DRAYU | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 7/1/2021 | GGGVU | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 7/1/2021 | GGGVU | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 7/1/2021 | GGGVU | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 7/1/2021 | GGGVU | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 7/1/2021 | DRAYU | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 7/1/2021 | GGGVU | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 7/1/2021 | DRAYU | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 7/1/2021 | DRAYU | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 7/1/2021 | DRAYU | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 7/1/2021 | GGGVU | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 7/1/2021 | DRAYU | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 7/1/2021 | GGGVU | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 7/1/2021 | WISH | 100 | \$ 12.47 | \$ 1,246.51 | \$ 37.67 |
| | 7/1/2021 | RCRTW | 1,000 | \$ 1.55 | \$ 1,545.00 | \$ 22.75 |
| | 7/1/2021 | RCRTW | 1,000 | \$ 1.55 | \$ 1,545.00 | \$ 22.75 |
| | 7/1/2021 | RCRTW | 1,000 | \$ 1.55 | \$ 1,545.00 | \$ 22.75 |
| | 7/1/2021 | RCRTW | 1,000 | \$ 1.55 | \$ 1,545.00 | \$ 22.75 |
| | 7/1/2021 | RCRTW | 1,000 | \$ 1.55 | \$ 1,550.00 | \$ 22.50 |
| | 7/6/2021 | VRAR | 100 | \$ 10.88 | \$ 1,088.00 | \$ 45.60 |
| | 7/6/2021 | RCRTW | 1,000 | \$ 1.60 | \$ 1,600.70 | \$ 19.97 |
| | 7/6/2021 | OSATW | 500 | \$ 3.88 | \$ 1,937.50 | \$ 3.13 |
| | 7/7/2021 | OPNT | 50 | \$ 17.10 | \$ 855.00 | \$ 57.25 |
| | 7/7/2021 | AUUDW | 350 | \$ 2.65 | \$ 928.00 | \$ 53.60 |
| | 7/7/2021 | BTTR | 300 | \$ 4.42 | \$ 1,326.00 | \$ 33.70 |
| | 7/7/2021 | OPNT | 100 | \$ 17.04 | \$ 1,704.00 | \$ 14.80 |
| | 7/8/2021 | AGRIW | 1,000 | \$ 0.90 | \$ 900.90 | \$ 54.96 |
| | 7/8/2021 | RICOU | 100 | \$ 9.99 | \$ 999.00 | \$ 50.05 |
| | 7/8/2021 | RICOU | 100 | \$ 9.99 | \$ 999.00 | \$ 50.05 |
| | 7/8/2021 | RICOU | 100 | \$ 9.99 | \$ 999.00 | \$ 50.05 |
| | 7/8/2021 | RICOU | 100 | \$ 9.99 | \$ 999.00 | \$ 50.05 |
| | 7/8/2021 | RICOU | 100 | \$ 9.99 | \$ 999.00 | \$ 50.05 |
| | 7/8/2021 | RICOU | 100 | \$ 9.99 | \$ 999.00 | \$ 50.05 |
| | 7/8/2021 | RICOU | 100 | \$ 9.99 | \$ 999.00 | \$ 50.05 |
| | 7/8/2021 | RICOU | 100 | \$ 9.99 | \$ 999.00 | \$ 50.05 |
| | 7/12/2021 | RCRTW | 1,000 | \$ 1.84 | \$ 1,840.90 | \$ 7.95 |
| | 7/12/2021 | RCRTW | 1,000 | \$ 1.85 | \$ 1,846.00 | \$ 7.70 |

Attachment A

| Account Number | Trade Date | Symbol | Shares | Price | Principal | Restitution Amount |
|----------------|------------|--------|--------|----------|-------------|--------------------|
| | 7/13/2021 | UNCY | 100 | \$ 8.55 | \$ 855.00 | \$ 57.25 |
| | 7/13/2021 | UNCY | 100 | \$ 8.55 | \$ 855.00 | \$ 57.25 |
| | 7/13/2021 | UNCY | 100 | \$ 8.55 | \$ 855.00 | \$ 57.25 |
| | 7/13/2021 | UNCY | 100 | \$ 8.55 | \$ 855.00 | \$ 57.25 |
| | 7/13/2021 | UNCY | 100 | \$ 8.55 | \$ 855.00 | \$ 57.25 |
| | 7/13/2021 | UNCY | 100 | \$ 8.55 | \$ 855.00 | \$ 57.25 |
| | 7/13/2021 | UNCY | 100 | \$ 8.55 | \$ 855.00 | \$ 57.25 |
| | 7/13/2021 | UNCY | 100 | \$ 8.55 | \$ 855.00 | \$ 57.25 |
| | 7/13/2021 | UNCY | 100 | \$ 8.55 | \$ 855.00 | \$ 57.25 |
| | 7/13/2021 | UNCY | 100 | \$ 8.55 | \$ 855.00 | \$ 57.25 |
| | 7/13/2021 | UNCY | 100 | \$ 8.55 | \$ 855.00 | \$ 57.25 |
| | 7/13/2021 | UNCY | 100 | \$ 8.55 | \$ 855.00 | \$ 57.25 |
| | 7/13/2021 | UNCY | 100 | \$ 8.55 | \$ 855.00 | \$ 57.25 |
| | 7/13/2021 | UNCY | 100 | \$ 8.55 | \$ 855.00 | \$ 57.25 |
| | 7/13/2021 | UNCY | 100 | \$ 8.55 | \$ 855.00 | \$ 57.25 |
| | 7/13/2021 | CORSU | 100 | \$ 9.91 | \$ 991.00 | \$ 50.45 |
| | 7/13/2021 | CORSU | 100 | \$ 9.91 | \$ 991.00 | \$ 50.45 |
| | 7/13/2021 | TPGS | 100 | \$ 10.02 | \$ 1,001.50 | \$ 49.93 |
| | 7/13/2021 | FTVIU | 100 | \$ 10.06 | \$ 1,006.06 | \$ 49.70 |
| | 7/13/2021 | NLITU | 100 | \$ 10.10 | \$ 1,010.00 | \$ 49.50 |
| | 7/13/2021 | UNCY | 200 | \$ 5.50 | \$ 1,100.00 | \$ 45.00 |
| | 7/13/2021 | UNCY | 300 | \$ 5.50 | \$ 1,650.00 | \$ 17.50 |
| | 7/13/2021 | RCRTW | 1,000 | \$ 1.73 | \$ 1,730.00 | \$ 13.50 |
| | 7/13/2021 | RCRTW | 1,000 | \$ 1.90 | \$ 1,900.00 | \$ 5.00 |
| | 7/14/2021 | GBTC | 50 | \$ 27.17 | \$ 1,358.50 | \$ 32.08 |
| | 7/14/2021 | RIOT | 50 | \$ 30.39 | \$ 1,519.51 | \$ 24.02 |
| | 7/15/2021 | SGHT | 25 | \$ 30.00 | \$ 750.00 | \$ 62.50 |
| | 7/16/2021 | BSAQU | 100 | \$ 9.90 | \$ 990.00 | \$ 50.50 |
| | 7/16/2021 | BSAQU | 100 | \$ 9.90 | \$ 990.00 | \$ 50.50 |
| | 7/16/2021 | BSAQU | 100 | \$ 9.90 | \$ 990.00 | \$ 50.50 |
| | 7/16/2021 | BSAQU | 100 | \$ 9.90 | \$ 990.00 | \$ 50.50 |
| | 7/16/2021 | APACU | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 7/16/2021 | APACU | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 7/16/2021 | APACU | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 7/16/2021 | APACU | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 7/16/2021 | APACU | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 7/16/2021 | APACU | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 7/16/2021 | APACU | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 7/16/2021 | APACU | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 7/16/2021 | APACU | 100 | \$ 10.00 | \$ 1,000.00 | \$ 50.00 |
| | 7/16/2021 | RGC | 100 | \$ 12.00 | \$ 1,200.00 | \$ 40.00 |
| | 7/16/2021 | RGC | 100 | \$ 12.00 | \$ 1,200.00 | \$ 40.00 |
| | 7/16/2021 | RGC | 100 | \$ 12.00 | \$ 1,200.00 | \$ 40.00 |
| | 7/16/2021 | RGC | 100 | \$ 12.00 | \$ 1,200.00 | \$ 40.00 |
| | 7/16/2021 | RGC | 100 | \$ 12.00 | \$ 1,200.00 | \$ 40.00 |
| | 7/19/2021 | RGC | 100 | \$ 9.75 | \$ 975.00 | \$ 51.25 |
| | 7/23/2021 | SCKT | 100 | \$ 12.77 | \$ 1,277.00 | \$ 36.15 |

Attachment A

| Account Number | Trade Date | Symbol | Shares | Price | Principal | Restitution Amount |
|----------------|------------|--------|--------|----------|-------------|--------------------|
| | 7/26/2021 | SCKT | 100 | \$ 7.28 | \$ 728.00 | \$ 63.60 |
| | 7/27/2021 | OPNT | 100 | \$ 16.57 | \$ 1,657.00 | \$ 17.15 |
| | 7/28/2021 | INTZ | 400 | \$ 4.77 | \$ 1,908.00 | \$ 4.60 |
| | 8/3/2021 | WHLM | 150 | \$ 6.12 | \$ 918.00 | \$ 54.10 |
| | 8/9/2021 | DKDCU | 100 | \$ 10.42 | \$ 1,042.00 | \$ 47.90 |
| | 8/12/2021 | WHLM | 150 | \$ 5.64 | \$ 846.00 | \$ 57.70 |
| | 8/12/2021 | ADILW | 2,000 | \$ 0.79 | \$ 1,578.84 | \$ 21.06 |
| | 8/20/2021 | RGC | 100 | \$ 15.01 | \$ 1,500.50 | \$ 24.98 |
| | 8/20/2021 | RGC | 100 | \$ 15.04 | \$ 1,504.00 | \$ 24.80 |
| | 8/25/2021 | SAVA | 15 | \$ 94.58 | \$ 1,418.70 | \$ 29.07 |
| | 8/27/2021 | NURO | 100 | \$ 13.02 | \$ 1,302.43 | \$ 34.88 |
| | 8/31/2021 | RNXT | 100 | \$ 11.70 | \$ 1,170.00 | \$ 41.50 |
| | 9/2/2021 | RCRTW | 1,038 | \$ 1.90 | \$ 1,972.20 | \$ 1.39 |
| | 9/8/2021 | VBIV | 550 | \$ 3.36 | \$ 1,848.00 | \$ 7.60 |
| | 9/14/2021 | ZIVO | 400 | \$ 3.49 | \$ 1,396.00 | \$ 30.20 |
| | 9/14/2021 | ARTL | 1,625 | \$ 0.87 | \$ 1,411.23 | \$ 29.44 |
| | 9/15/2021 | MUE | 100 | \$ 14.56 | \$ 1,456.00 | \$ 27.20 |
| | 9/20/2021 | ZIVOW | 1,000 | \$ 1.70 | \$ 1,700.00 | \$ 15.00 |
| | 9/20/2021 | ZIVOW | 1,000 | \$ 1.88 | \$ 1,880.00 | \$ 6.00 |
| | 9/23/2021 | OPNT | 50 | \$ 24.00 | \$ 1,200.00 | \$ 40.00 |
| | 9/23/2021 | ADILW | 2,300 | \$ 0.99 | \$ 2,275.26 | \$ 23.12 |
| | 9/23/2021 | BB | 150 | \$ 10.68 | \$ 1,601.82 | \$ 19.91 |
| | 9/24/2021 | UPTDU | 100 | \$ 10.02 | \$ 1,002.20 | \$ 49.89 |
| | 9/24/2021 | APACU | 100 | \$ 10.04 | \$ 1,004.00 | \$ 49.80 |
| | 9/24/2021 | BENEU | 100 | \$ 10.68 | \$ 1,068.19 | \$ 46.59 |
| | 9/24/2021 | ZIVOW | 1,000 | \$ 1.34 | \$ 1,337.82 | \$ 33.11 |
| | 9/24/2021 | ZIVO | 250 | \$ 6.68 | \$ 1,670.00 | \$ 16.50 |
| | 9/24/2021 | DDI | 100 | \$ 17.57 | \$ 1,756.60 | \$ 12.17 |
| | 9/27/2021 | TBLT | 2,500 | \$ 0.52 | \$ 1,290.00 | \$ 35.50 |
| | 9/29/2021 | NCNA | 300 | \$ 3.06 | \$ 917.94 | \$ 54.10 |
| | 10/4/2021 | YCBD | 785 | \$ 1.97 | \$ 1,546.45 | \$ 22.68 |
| | 10/7/2021 | RCRTW | 1,500 | \$ 1.20 | \$ 1,802.10 | \$ 9.90 |
| | 10/11/2021 | MRK | 12 | \$ 79.91 | \$ 958.89 | \$ 52.06 |
| | 10/11/2021 | KBNTW | 1,200 | \$ 0.81 | \$ 966.65 | \$ 51.67 |
| | 10/11/2021 | SVFAU | 200 | \$ 9.97 | \$ 1,994.08 | \$ 0.30 |
| | 10/12/2021 | NTRBW | 600 | \$ 3.01 | \$ 1,806.06 | \$ 9.70 |
| | 10/21/2021 | NYCB | 45 | \$ 13.95 | \$ 627.91 | \$ 68.60 |
| | 10/21/2021 | AYTU | 436 | \$ 2.57 | \$ 1,120.52 | \$ 43.97 |
| | 10/21/2021 | RELIW | 3,000 | \$ 0.39 | \$ 1,155.00 | \$ 42.25 |
| | 10/21/2021 | TOBAF | 500 | \$ 2.95 | \$ 1,473.86 | \$ 26.31 |
| | 10/22/2021 | BTVRF | 10,000 | \$ 0.10 | \$ 1,000.00 | \$ 50.00 |
| | 10/28/2021 | DWACW | 50 | \$ 38.61 | \$ 1,930.50 | \$ 3.47 |
| | 11/1/2021 | ABVC | 100 | \$ 7.39 | \$ 739.00 | \$ 63.05 |
| | 11/1/2021 | ABVC | 100 | \$ 7.71 | \$ 771.00 | \$ 61.45 |

Attachment A

| Account Number | Trade Date | Symbol | Shares | Price | Principal | Restitution Amount |
|----------------|------------|--------|--------|-----------|--------------|--------------------|
| | 11/1/2021 | ABVC | 100 | \$ 7.72 | \$ 772.04 | \$ 61.40 |
| | 11/1/2021 | ABVC | 100 | \$ 7.74 | \$ 774.00 | \$ 61.30 |
| | 11/1/2021 | ABVC | 100 | \$ 7.76 | \$ 776.00 | \$ 61.20 |
| | 11/1/2021 | ABVC | 100 | \$ 7.84 | \$ 784.00 | \$ 60.80 |
| | 11/1/2021 | ABVC | 100 | \$ 9.11 | \$ 911.00 | \$ 54.45 |
| | 11/1/2021 | ABVC | 100 | \$ 9.15 | \$ 915.00 | \$ 54.25 |
| | 11/1/2021 | ABVC | 100 | \$ 9.25 | \$ 925.00 | \$ 53.75 |
| | 11/1/2021 | ABVC | 200 | \$ 9.08 | \$ 1,815.00 | \$ 9.25 |
| | 11/2/2021 | BBLG | 250 | \$ 6.28 | \$ 1,568.75 | \$ 21.56 |
| | 11/3/2021 | ZIVOW | 2,000 | \$ 0.96 | \$ 1,924.94 | \$ 3.75 |
| | 11/3/2021 | ZIVOW | 2,000 | \$ 0.98 | \$ 1,960.05 | \$ 2.00 |
| | 11/4/2021 | RANI | 60 | \$ 33.00 | \$ 1,980.00 | \$ 1.00 |
| | 11/5/2021 | DCRCU | 100 | \$ 13.06 | \$ 1,305.50 | \$ 34.73 |
| | 11/5/2021 | MYNZ | 100 | \$ 15.55 | \$ 1,555.43 | \$ 22.23 |
| | 11/9/2021 | GVCIU | 1,000 | \$ 10.09 | \$ 10,090.00 | \$ 495.50 |
| | 11/9/2021 | STRNW | 500 | \$ 0.80 | \$ 397.70 | \$ 80.12 |
| | 11/9/2021 | MPRAU | 100 | \$ 10.04 | \$ 1,004.03 | \$ 49.80 |
| | 11/9/2021 | SOPA | 50 | \$ 21.74 | \$ 1,087.00 | \$ 45.65 |
| | 11/9/2021 | STRN | 500 | \$ 3.91 | \$ 1,955.00 | \$ 2.25 |
| | 11/10/2021 | ADIWW | 600 | \$ 0.55 | \$ 330.00 | \$ 83.50 |
| | 11/10/2021 | ADILW | 600 | \$ 0.71 | \$ 426.06 | \$ 78.70 |
| | 11/10/2021 | YCBD | 600 | \$ 1.69 | \$ 1,011.00 | \$ 49.45 |
| | 11/10/2021 | ARTLW | 5,000 | \$ 0.29 | \$ 1,461.44 | \$ 26.93 |
| | 11/11/2021 | SBEVWS | 5,000 | \$ 0.37 | \$ 1,844.92 | \$ 7.75 |
| | 11/12/2021 | BJDX | 100 | \$ 4.90 | \$ 489.50 | \$ 75.53 |
| | 11/12/2021 | AFACU | 100 | \$ 10.07 | \$ 1,007.01 | \$ 49.65 |
| | 11/12/2021 | AFACU | 100 | \$ 10.08 | \$ 1,008.00 | \$ 49.60 |
| | 11/12/2021 | OXUSU | 100 | \$ 10.48 | \$ 1,048.00 | \$ 47.60 |
| | 11/15/2021 | BBLG | 100 | \$ 5.29 | \$ 529.01 | \$ 73.55 |
| | 11/15/2021 | BBLG | 100 | \$ 5.38 | \$ 538.06 | \$ 73.10 |
| | 11/15/2021 | SBEVWS | 5,000 | \$ 0.38 | \$ 1,886.74 | \$ 5.66 |
| | 11/19/2021 | AYTU | 360 | \$ 2.03 | \$ 730.80 | \$ 63.46 |
| | 11/23/2021 | ULTXF | 6,000 | \$ 0.18 | \$ 1,076.40 | \$ 46.18 |
| | 11/23/2021 | TGT | 5 | \$ 246.20 | \$ 1,230.98 | \$ 38.45 |
| | 11/23/2021 | ISPC | 100 | \$ 14.54 | \$ 1,454.00 | \$ 27.30 |
| | 11/30/2021 | CNGLU | 100 | \$ 10.14 | \$ 1,014.00 | \$ 49.30 |
| | 12/1/2021 | CMCAU | 100 | \$ 10.07 | \$ 1,007.00 | \$ 49.65 |
| | 12/1/2021 | CMCAU | 100 | \$ 10.07 | \$ 1,007.00 | \$ 49.65 |
| | 12/1/2021 | PACIU | 100 | \$ 10.07 | \$ 1,007.00 | \$ 49.65 |
| | 12/1/2021 | CMCAU | 100 | \$ 10.07 | \$ 1,007.00 | \$ 49.65 |
| | 12/1/2021 | CMCAU | 100 | \$ 10.07 | \$ 1,007.00 | \$ 49.65 |
| | 12/1/2021 | CMCAU | 100 | \$ 10.07 | \$ 1,007.00 | \$ 49.65 |
| | 12/1/2021 | PACIU | 100 | \$ 10.07 | \$ 1,007.00 | \$ 49.65 |
| | 12/1/2021 | PACIU | 100 | \$ 10.07 | \$ 1,007.00 | \$ 49.65 |

Attachment A

| Account Number | Trade Date | Symbol | Shares | Price | Principal | Restitution Amount |
|----------------|------------|--------|--------|----------|-------------|--------------------|
| | 12/1/2021 | CMCAU | 100 | \$ 10.07 | \$ 1,007.00 | \$ 49.65 |
| | 12/1/2021 | CMCAU | 100 | \$ 10.07 | \$ 1,007.00 | \$ 49.65 |
| | 12/1/2021 | TLGYU | 100 | \$ 10.08 | \$ 1,008.00 | \$ 49.60 |
| | 12/1/2021 | TLGYU | 100 | \$ 10.08 | \$ 1,008.00 | \$ 49.60 |
| | 12/1/2021 | TLGYU | 100 | \$ 10.08 | \$ 1,008.00 | \$ 49.60 |
| | 12/1/2021 | TLGYU | 100 | \$ 10.08 | \$ 1,008.00 | \$ 49.60 |
| | 12/2/2021 | WISH | 100 | \$ 3.32 | \$ 332.23 | \$ 83.39 |
| | 12/6/2021 | AGIL | 100 | \$ 9.70 | \$ 970.00 | \$ 51.50 |
| | 12/6/2021 | AGIL | 100 | \$ 9.85 | \$ 985.00 | \$ 50.75 |
| | 12/6/2021 | BACAU | 100 | \$ 9.98 | \$ 998.00 | \$ 50.10 |
| | 12/6/2021 | BACAU | 100 | \$ 9.98 | \$ 998.01 | \$ 50.10 |
| | 12/6/2021 | CBRGU | 100 | \$ 10.07 | \$ 1,007.00 | \$ 49.65 |
| | 12/6/2021 | PRBMU | 100 | \$ 10.19 | \$ 1,019.00 | \$ 49.05 |
| | 12/6/2021 | PCXCU | 100 | \$ 10.20 | \$ 1,020.00 | \$ 49.00 |
| | 12/6/2021 | JBLU | 100 | \$ 14.32 | \$ 1,432.00 | \$ 28.40 |
| | 12/6/2021 | HPLTU | 200 | \$ 9.92 | \$ 1,984.00 | \$ 0.80 |
| | 12/7/2021 | BTBDW | 900 | \$ 0.75 | \$ 677.72 | \$ 66.11 |
| | 12/7/2021 | BOCNU | 100 | \$ 10.03 | \$ 1,002.50 | \$ 49.88 |
| | 12/7/2021 | MAAQU | 100 | \$ 10.24 | \$ 1,024.00 | \$ 48.80 |
| | 12/7/2021 | CFVIU | 100 | \$ 14.52 | \$ 1,452.00 | \$ 27.40 |
| | 12/8/2021 | ACB | 83 | \$ 6.66 | \$ 552.79 | \$ 72.36 |
| | 12/8/2021 | GRAMF | 500 | \$ 1.70 | \$ 850.00 | \$ 57.50 |
| | 12/9/2021 | NU | 100 | \$ 11.25 | \$ 1,125.00 | \$ 43.75 |
| | 12/9/2021 | LAZR | 100 | \$ 15.67 | \$ 1,567.12 | \$ 21.64 |
| | 12/14/2021 | LAZR | 100 | \$ 15.27 | \$ 1,526.63 | \$ 23.67 |
| | 12/14/2021 | VINE | 200 | \$ 7.75 | \$ 1,550.00 | \$ 22.50 |
| | 12/15/2021 | TGB | 1,000 | \$ 1.80 | \$ 1,795.00 | \$ 10.25 |
| | 12/17/2021 | LCID | 50 | \$ 36.70 | \$ 1,835.01 | \$ 8.25 |
| | 12/21/2021 | RELIW | 1,200 | \$ 1.14 | \$ 1,368.00 | \$ 31.60 |
| | 12/21/2021 | RELIW | 1,000 | \$ 1.54 | \$ 1,540.00 | \$ 23.00 |
| | 12/21/2021 | RELIW | 1,200 | \$ 1.36 | \$ 1,632.00 | \$ 18.40 |
| | 12/22/2021 | CLSN | 1,000 | \$ 0.64 | \$ 635.10 | \$ 68.25 |
| | 12/22/2021 | MRKR | 1,000 | \$ 1.00 | \$ 995.00 | \$ 50.25 |
| | 12/22/2021 | AHT | 100 | \$ 11.15 | \$ 1,115.44 | \$ 44.23 |
| | 12/27/2021 | ISPC | 100 | \$ 10.24 | \$ 1,024.00 | \$ 48.80 |
| | 12/29/2021 | RELIW | 1,200 | \$ 0.90 | \$ 1,081.32 | \$ 45.93 |
| | 12/29/2021 | BHG | 500 | \$ 3.34 | \$ 1,670.00 | \$ 16.50 |
| | 12/30/2021 | RCRTW | 1,200 | \$ 0.80 | \$ 961.32 | \$ 51.93 |
| | 12/30/2021 | RELIW | 834 | \$ 1.19 | \$ 992.46 | \$ 50.38 |
| | 12/30/2021 | VRMEW | 1,000 | \$ 1.02 | \$ 1,023.50 | \$ 48.83 |
| | 12/30/2021 | RELIW | 1,200 | \$ 1.29 | \$ 1,548.00 | \$ 22.60 |
| | 12/30/2021 | RELIW | 1,000 | \$ 1.60 | \$ 1,600.00 | \$ 20.00 |
| | 12/30/2021 | RELIW | 1,200 | \$ 1.35 | \$ 1,620.00 | \$ 19.00 |
| | 12/30/2021 | RELIW | 1,200 | \$ 1.36 | \$ 1,632.12 | \$ 18.39 |

Attachment A

| Account Number | Trade Date | Symbol | Shares | Price | Principal | Restitution Amount |
|----------------|------------|--------|--------|----------|-------------|--------------------|
| | 12/30/2021 | RELIW | 1,200 | \$ 1.44 | \$ 1,722.60 | \$ 13.87 |
| | 1/5/2022 | WSR | 185 | \$ 10.28 | \$ 1,901.82 | \$ 4.91 |
| | 1/7/2022 | HOUR | 100 | \$ 9.13 | \$ 913.00 | \$ 54.35 |
| | 1/7/2022 | HOUR | 100 | \$ 9.35 | \$ 935.00 | \$ 53.25 |
| | 1/7/2022 | HOUR | 250 | \$ 6.80 | \$ 1,699.50 | \$ 15.03 |
| | 1/21/2022 | CMPO | 100 | \$ 8.21 | \$ 821.00 | \$ 58.95 |
| | 1/21/2022 | AIBBU | 100 | \$ 9.96 | \$ 996.00 | \$ 50.20 |
| | 1/21/2022 | ATEKU | 100 | \$ 9.99 | \$ 999.00 | \$ 50.05 |
| | 1/21/2022 | TETEU | 100 | \$ 10.02 | \$ 1,002.00 | \$ 49.90 |
| | 1/27/2022 | GOVXW | 2,000 | \$ 0.80 | \$ 1,600.00 | \$ 20.00 |
| | 1/28/2022 | ZIVOW | 2,500 | \$ 0.78 | \$ 1,950.00 | \$ 2.50 |
| | 3/10/2022 | DKNG | 100 | \$ 17.29 | \$ 1,729.11 | \$ 13.54 |
| | 3/21/2022 | GMBT | 100 | \$ 9.96 | \$ 995.50 | \$ 50.23 |
| | 3/28/2022 | ZIVOW | 1,500 | \$ 0.70 | \$ 1,051.35 | \$ 47.43 |
| | 3/31/2022 | GMBLZ | 5,000 | \$ 0.27 | \$ 1,350.00 | \$ 32.50 |
| | 4/1/2022 | SGBX | 711 | \$ 2.30 | \$ 1,635.37 | \$ 18.23 |
| | 4/7/2022 | ARKK | 25 | \$ 62.04 | \$ 1,551.12 | \$ 22.44 |
| | 4/11/2022 | IVDAW | 1,000 | \$ 1.05 | \$ 1,050.00 | \$ 47.50 |
| | 4/13/2022 | BFRI | 40 | \$ 6.12 | \$ 244.80 | \$ 87.76 |
| | 4/13/2022 | DAL | 35 | \$ 41.01 | \$ 1,435.43 | \$ 28.23 |
| | 4/14/2022 | TCBPW | 3,500 | \$ 0.34 | \$ 1,183.89 | \$ 40.81 |
| | 4/19/2022 | STSS | 235 | \$ 3.25 | \$ 763.75 | \$ 61.81 |
| | 4/19/2022 | STSS | 235 | \$ 3.25 | \$ 763.75 | \$ 61.81 |
| | 4/19/2022 | STSS | 235 | \$ 3.26 | \$ 766.10 | \$ 61.70 |
| | 4/19/2022 | STSS | 235 | \$ 3.27 | \$ 768.45 | \$ 61.58 |
| | 4/19/2022 | STSS | 353 | \$ 3.26 | \$ 1,150.78 | \$ 42.46 |
| | 4/19/2022 | STSS | 353 | \$ 3.26 | \$ 1,150.78 | \$ 42.46 |
| | 4/19/2022 | STSS | 353 | \$ 3.26 | \$ 1,150.78 | \$ 42.46 |
| | 4/19/2022 | STSS | 420 | \$ 3.26 | \$ 1,369.20 | \$ 31.54 |
| | 4/19/2022 | STSSW | 2,352 | \$ 0.62 | \$ 1,449.30 | \$ 27.54 |
| | 4/19/2022 | STSS | 471 | \$ 3.27 | \$ 1,540.17 | \$ 22.99 |
| | 4/19/2022 | STSSW | 2,352 | \$ 0.66 | \$ 1,553.03 | \$ 22.35 |
| | 4/19/2022 | STSSW | 2,352 | \$ 0.66 | \$ 1,563.84 | \$ 21.81 |
| | 4/19/2022 | STSSW | 2,352 | \$ 0.69 | \$ 1,623.59 | \$ 18.82 |
| | 4/19/2022 | STSSW | 2,000 | \$ 0.90 | \$ 1,800.00 | \$ 10.00 |
| | 4/19/2022 | STSSW | 2,352 | \$ 0.78 | \$ 1,843.97 | \$ 7.80 |
| | 4/19/2022 | STSSW | 2,352 | \$ 0.80 | \$ 1,881.60 | \$ 5.92 |
| | 4/19/2022 | STSSW | 2,352 | \$ 0.80 | \$ 1,881.60 | \$ 5.92 |
| | 4/19/2022 | STSSW | 2,352 | \$ 0.80 | \$ 1,881.60 | \$ 5.92 |
| | 4/22/2022 | JCSE | 100 | \$ 18.13 | \$ 1,813.00 | \$ 9.35 |
| | 4/22/2022 | JCSE | 100 | \$ 18.66 | \$ 1,866.00 | \$ 6.70 |
| | 4/22/2022 | JCSE | 100 | \$ 19.50 | \$ 1,950.00 | \$ 2.50 |
| | 4/27/2022 | OST | 100 | \$ 10.10 | \$ 1,010.00 | \$ 49.50 |
| | 4/27/2022 | OST | 100 | \$ 16.10 | \$ 1,610.00 | \$ 19.50 |

Attachment A

| Account Number | Trade Date | Symbol | Shares | Price | Principal | Restitution Amount |
|----------------|------------|--------|--------|----------|-------------|--------------------|
| | 4/27/2022 | OST | 100 | \$ 16.10 | \$ 1,610.00 | \$ 19.50 |
| | 4/27/2022 | OST | 100 | \$ 16.10 | \$ 1,610.00 | \$ 19.50 |
| | 4/27/2022 | OST | 100 | \$ 16.10 | \$ 1,610.00 | \$ 19.50 |
| | 4/27/2022 | OST | 100 | \$ 16.10 | \$ 1,610.00 | \$ 19.50 |
| | 4/27/2022 | OST | 100 | \$ 16.10 | \$ 1,610.00 | \$ 19.50 |
| | 4/27/2022 | OST | 100 | \$ 16.10 | \$ 1,610.00 | \$ 19.50 |
| | 4/27/2022 | OST | 100 | \$ 16.10 | \$ 1,610.00 | \$ 19.50 |
| | 4/27/2022 | OST | 100 | \$ 16.10 | \$ 1,610.00 | \$ 19.50 |
| | 4/27/2022 | OST | 100 | \$ 16.10 | \$ 1,610.00 | \$ 19.50 |
| | 4/27/2022 | OST | 100 | \$ 16.10 | \$ 1,610.00 | \$ 19.50 |
| | 4/28/2022 | CLRCU | 100 | \$ 10.06 | \$ 1,006.00 | \$ 49.70 |
| | 4/28/2022 | CLRCU | 100 | \$ 10.06 | \$ 1,006.00 | \$ 49.70 |
| | 4/28/2022 | CLRCU | 100 | \$ 10.06 | \$ 1,006.00 | \$ 49.70 |
| | 4/28/2022 | CLRCU | 100 | \$ 10.06 | \$ 1,006.00 | \$ 49.70 |
| | 4/28/2022 | CLRCU | 100 | \$ 10.06 | \$ 1,006.00 | \$ 49.70 |
| | 5/3/2022 | ASCBU | 100 | \$ 10.02 | \$ 1,002.00 | \$ 49.90 |
| | 5/3/2022 | ASCBU | 100 | \$ 10.02 | \$ 1,002.00 | \$ 49.90 |
| | 5/3/2022 | ASCBU | 100 | \$ 10.02 | \$ 1,002.00 | \$ 49.90 |
| | 5/3/2022 | ASCBU | 100 | \$ 10.02 | \$ 1,002.00 | \$ 49.90 |
| | 5/3/2022 | ASCBU | 100 | \$ 10.02 | \$ 1,002.00 | \$ 49.90 |
| | 5/3/2022 | ASCBU | 100 | \$ 10.02 | \$ 1,002.00 | \$ 49.90 |
| | 5/3/2022 | ASCBU | 100 | \$ 10.02 | \$ 1,002.00 | \$ 49.90 |
| | 5/3/2022 | ASCBU | 100 | \$ 10.02 | \$ 1,002.00 | \$ 49.90 |
| | 5/3/2022 | ASCBU | 100 | \$ 10.02 | \$ 1,002.00 | \$ 49.90 |
| | 5/3/2022 | ASCBU | 100 | \$ 10.02 | \$ 1,002.00 | \$ 49.90 |
| | 5/3/2022 | ASCBU | 100 | \$ 10.02 | \$ 1,002.00 | \$ 49.90 |
| | 5/3/2022 | QQQX | 51 | \$ 25.44 | \$ 1,297.19 | \$ 35.14 |
| | 5/3/2022 | QQQX | 51 | \$ 25.44 | \$ 1,297.44 | \$ 35.13 |
| | 5/3/2022 | QQQX | 53 | \$ 25.44 | \$ 1,348.32 | \$ 32.58 |
| | 5/4/2022 | CORSU | 100 | \$ 9.82 | \$ 982.07 | \$ 50.90 |
| | 5/4/2022 | BGSXU | 100 | \$ 9.84 | \$ 984.12 | \$ 50.79 |
| | 5/4/2022 | DRAYU | 100 | \$ 9.98 | \$ 998.00 | \$ 50.10 |
| | 5/4/2022 | BNNRU | 100 | \$ 10.00 | \$ 1,000.06 | \$ 50.00 |
| | 5/4/2022 | ARIZU | 100 | \$ 10.01 | \$ 1,001.00 | \$ 49.95 |
| | 5/4/2022 | AVHIU | 100 | \$ 10.05 | \$ 1,005.00 | \$ 49.75 |
| | 5/4/2022 | BMACU | 100 | \$ 10.05 | \$ 1,005.00 | \$ 49.75 |
| | 5/4/2022 | CBRGU | 100 | \$ 10.05 | \$ 1,005.00 | \$ 49.75 |
| | 5/4/2022 | AIBBU | 100 | \$ 10.05 | \$ 1,005.13 | \$ 49.74 |
| | 5/4/2022 | AHRNU | 100 | \$ 10.06 | \$ 1,006.00 | \$ 49.70 |
| | 5/4/2022 | BRDU | 100 | \$ 10.06 | \$ 1,006.00 | \$ 49.70 |
| | 5/4/2022 | CMCAU | 100 | \$ 10.08 | \$ 1,008.00 | \$ 49.60 |
| | 5/4/2022 | CXACU | 100 | \$ 10.09 | \$ 1,009.00 | \$ 49.55 |
| | 5/4/2022 | AVACU | 100 | \$ 10.11 | \$ 1,010.50 | \$ 49.48 |

Attachment A

| Account Number | Trade Date | Symbol | Shares | Price | Principal | Restitution Amount |
|----------------|------------|--------|--------|----------|-------------|--------------------|
| | 5/4/2022 | CITEU | 100 | \$ 10.11 | \$ 1,011.00 | \$ 49.45 |
| | 5/4/2022 | DTRTU | 100 | \$ 10.11 | \$ 1,011.09 | \$ 49.45 |
| | 5/4/2022 | BCSAU | 100 | \$ 10.15 | \$ 1,015.00 | \$ 49.25 |
| | 5/4/2022 | DHACU | 100 | \$ 10.21 | \$ 1,020.50 | \$ 48.98 |
| | 5/4/2022 | CLAQU | 100 | \$ 10.21 | \$ 1,021.00 | \$ 48.95 |
| | 5/4/2022 | AUST | 100 | \$ 12.00 | \$ 1,200.00 | \$ 40.00 |
| | 5/4/2022 | AUST | 100 | \$ 12.00 | \$ 1,200.00 | \$ 40.00 |
| | 5/4/2022 | SOUN | 100 | \$ 12.48 | \$ 1,248.00 | \$ 37.60 |
| | 5/4/2022 | CFVIU | 100 | \$ 12.64 | \$ 1,264.00 | \$ 36.80 |
| | 5/4/2022 | WE | 239 | \$ 6.97 | \$ 1,665.83 | \$ 16.71 |
| | 5/4/2022 | AUST | 100 | \$ 19.43 | \$ 1,943.00 | \$ 2.85 |
| | 5/4/2022 | AUST | 100 | \$ 19.43 | \$ 1,943.00 | \$ 2.85 |
| | 5/4/2022 | ACAHU | 200 | \$ 9.80 | \$ 1,960.26 | \$ 1.99 |
| | 5/6/2022 | RENEU | 100 | \$ 10.03 | \$ 1,003.00 | \$ 49.85 |
| | 5/6/2022 | RENEU | 100 | \$ 10.03 | \$ 1,003.00 | \$ 49.85 |
| | 5/6/2022 | RENEU | 100 | \$ 10.03 | \$ 1,003.00 | \$ 49.85 |
| | 5/6/2022 | RENEU | 100 | \$ 10.03 | \$ 1,003.00 | \$ 49.85 |
| | 5/6/2022 | RENEU | 100 | \$ 10.03 | \$ 1,003.00 | \$ 49.85 |
| | 5/6/2022 | RENEU | 100 | \$ 10.03 | \$ 1,003.00 | \$ 49.85 |
| | 5/6/2022 | RENEU | 100 | \$ 10.03 | \$ 1,003.00 | \$ 49.85 |
| | 5/6/2022 | RENEU | 100 | \$ 10.03 | \$ 1,003.00 | \$ 49.85 |
| | 5/6/2022 | DBGI | 5,000 | \$ 0.23 | \$ 1,150.50 | \$ 42.48 |
| | 5/10/2022 | IVCAU | 100 | \$ 10.05 | \$ 1,005.00 | \$ 49.75 |
| | 5/10/2022 | IVCAU | 100 | \$ 10.05 | \$ 1,005.00 | \$ 49.75 |
| | 5/10/2022 | IVCAU | 100 | \$ 10.05 | \$ 1,005.00 | \$ 49.75 |
| | 5/10/2022 | IVCAU | 100 | \$ 10.05 | \$ 1,005.00 | \$ 49.75 |
| | 5/12/2022 | KMI | 100 | \$ 18.19 | \$ 1,818.85 | \$ 9.06 |
| | 5/13/2022 | IMAQU | 100 | \$ 9.15 | \$ 915.00 | \$ 54.25 |
| | 5/13/2022 | FVTU | 100 | \$ 9.84 | \$ 984.00 | \$ 50.80 |
| | 5/13/2022 | GLBLU | 100 | \$ 9.95 | \$ 995.00 | \$ 50.25 |
| | 5/13/2022 | PNACU | 100 | \$ 9.97 | \$ 997.00 | \$ 50.15 |
| | 5/13/2022 | PNACU | 100 | \$ 9.97 | \$ 997.00 | \$ 50.15 |
| | 5/13/2022 | PNACU | 100 | \$ 9.97 | \$ 997.00 | \$ 50.15 |
| | 5/13/2022 | PNACU | 100 | \$ 9.97 | \$ 997.00 | \$ 50.15 |
| | 5/13/2022 | FPACU | 100 | \$ 9.99 | \$ 999.00 | \$ 50.05 |
| | 5/13/2022 | ENCPU | 100 | \$ 10.11 | \$ 1,011.00 | \$ 49.45 |
| | 5/13/2022 | FEXDU | 100 | \$ 10.11 | \$ 1,011.00 | \$ 49.45 |
| | 5/13/2022 | JMACU | 100 | \$ 10.20 | \$ 1,019.50 | \$ 49.03 |
| | 5/13/2022 | GPCOU | 100 | \$ 10.52 | \$ 1,052.00 | \$ 47.40 |
| | 5/16/2022 | SOBR | 250 | \$ 2.40 | \$ 599.00 | \$ 70.05 |
| | 5/16/2022 | SOBR | 500 | \$ 2.00 | \$ 1,000.00 | \$ 50.00 |
| | 5/16/2022 | SOBR | 500 | \$ 2.00 | \$ 1,000.00 | \$ 50.00 |
| | 5/16/2022 | ZYNE | 2,000 | \$ 0.92 | \$ 1,840.00 | \$ 8.00 |
| | 5/17/2022 | OKYO | 250 | \$ 5.30 | \$ 1,325.00 | \$ 33.75 |

Attachment A

| Account Number | Trade Date | Symbol | Shares | Price | Principal | Restitution Amount |
|----------------|------------|--------|--------|----------|-------------|--------------------|
| | 5/19/2022 | LIONU | 100 | \$ 10.08 | \$ 1,007.50 | \$ 49.63 |
| | 5/19/2022 | NLITU | 100 | \$ 10.19 | \$ 1,019.00 | \$ 49.05 |
| | 5/19/2022 | MTRYU | 100 | \$ 10.22 | \$ 1,021.50 | \$ 48.93 |
| | 6/1/2022 | TOP | 50 | \$ 20.47 | \$ 1,023.50 | \$ 48.83 |
| | 6/1/2022 | TOP | 50 | \$ 25.00 | \$ 1,250.00 | \$ 37.50 |
| | 6/1/2022 | TOP | 75 | \$ 18.52 | \$ 1,389.00 | \$ 30.55 |
| | 6/2/2022 | VRMEW | 2,930 | \$ 0.59 | \$ 1,728.70 | \$ 13.57 |
| | 6/10/2022 | MNKD | 380 | \$ 4.29 | \$ 1,631.26 | \$ 18.44 |
| | 6/15/2022 | REK | 100 | \$ 19.86 | \$ 1,986.00 | \$ 0.70 |
| | 6/22/2022 | LYT | 50 | \$ 32.00 | \$ 1,600.00 | \$ 20.00 |
| | 6/23/2022 | PEV | 100 | \$ 7.70 | \$ 770.00 | \$ 61.50 |
| | 6/30/2022 | TEVA | 260 | \$ 7.60 | \$ 1,976.34 | \$ 1.18 |
| | 7/1/2022 | KERN | 9,361 | \$ 0.15 | \$ 1,409.77 | \$ 29.51 |
| | 7/12/2022 | AYTU | 2,500 | \$ 0.64 | \$ 1,593.75 | \$ 20.31 |
| | 7/15/2022 | HKD | 50 | \$ 15.40 | \$ 770.00 | \$ 61.50 |
| | 7/15/2022 | FGI | 750 | \$ 2.15 | \$ 1,612.80 | \$ 19.36 |
| | 7/18/2022 | HKD | 50 | \$ 25.50 | \$ 1,275.01 | \$ 36.25 |
| | 7/19/2022 | DRCT | 1,090 | \$ 1.49 | \$ 1,618.65 | \$ 19.07 |
| | 7/20/2022 | LCFY | 2,410 | \$ 0.40 | \$ 966.41 | \$ 51.68 |
| | 7/20/2022 | MHUA | 250 | \$ 4.94 | \$ 1,233.75 | \$ 38.31 |
| | 7/20/2022 | DBGI | 8,000 | \$ 0.16 | \$ 1,254.56 | \$ 37.27 |
| | 7/20/2022 | FGIWW | 4,300 | \$ 0.36 | \$ 1,548.00 | \$ 22.60 |
| | 7/21/2022 | ADIWW | 34,575 | \$ 0.04 | \$ 1,240.65 | \$ 37.97 |
| | 7/27/2022 | VRMEW | 1,900 | \$ 0.55 | \$ 1,049.00 | \$ 47.55 |
| | 7/27/2022 | ZIVOW | 2,000 | \$ 0.56 | \$ 1,117.85 | \$ 44.11 |
| | 7/27/2022 | AM | 150 | \$ 9.78 | \$ 1,467.00 | \$ 26.65 |
| | 7/27/2022 | PRFX | 2,500 | \$ 0.64 | \$ 1,610.70 | \$ 19.47 |
| | 7/27/2022 | ZIVOW | 2,800 | \$ 0.69 | \$ 1,934.52 | \$ 3.27 |
| | 8/2/2022 | ILAG | 300 | \$ 3.70 | \$ 1,110.00 | \$ 44.50 |
| | 8/2/2022 | QQQX | 68 | \$ 24.74 | \$ 1,682.31 | \$ 15.88 |
| | 8/2/2022 | QQQX | 68 | \$ 24.77 | \$ 1,684.35 | \$ 15.78 |
| | 8/4/2022 | APCXW | 2,000 | \$ 0.12 | \$ 237.65 | \$ 88.12 |
| | 8/4/2022 | YCBD | 2,000 | \$ 0.53 | \$ 1,050.20 | \$ 47.49 |
| | 8/12/2022 | CHG | 250 | \$ 4.16 | \$ 1,040.00 | \$ 48.00 |
| | 8/12/2022 | FRZA | 100 | \$ 14.64 | \$ 1,464.00 | \$ 26.80 |
| | 8/12/2022 | REBN | 200 | \$ 8.70 | \$ 1,740.00 | \$ 13.00 |
| | 8/12/2022 | REBN | 200 | \$ 9.04 | \$ 1,807.86 | \$ 9.61 |
| | 8/15/2022 | LUCY | 250 | \$ 6.50 | \$ 1,625.00 | \$ 18.75 |
| | 8/16/2022 | FRZA | 150 | \$ 9.53 | \$ 1,428.75 | \$ 28.56 |
| | 8/18/2022 | GCT | 50 | \$ 20.02 | \$ 1,001.00 | \$ 49.95 |
| | 8/18/2022 | GCT | 100 | \$ 19.12 | \$ 1,912.00 | \$ 4.40 |
| | 8/19/2022 | GCT | 50 | \$ 34.17 | \$ 1,708.39 | \$ 14.58 |
| | 8/25/2022 | MOBBW | 1,000 | \$ 0.97 | \$ 970.00 | \$ 51.50 |
| | 8/25/2022 | MOBBW | 1,000 | \$ 1.02 | \$ 1,020.00 | \$ 49.00 |

Attachment A

| Account Number | Trade Date | Symbol | Shares | Price | Principal | Restitution Amount |
|----------------|------------|--------|--------|-----------|-------------|--------------------|
| | 8/26/2022 | JZ | 10 | \$ 126.00 | \$ 1,260.00 | \$ 37.00 |
| | 8/26/2022 | PXMD | 200 | \$ 8.81 | \$ 1,761.00 | \$ 11.95 |
| | 8/26/2022 | JZ | 20 | \$ 89.00 | \$ 1,780.00 | \$ 11.00 |
| | 8/31/2022 | CHPT | 100 | \$ 16.85 | \$ 1,685.00 | \$ 15.75 |
| | 9/1/2022 | BIAFW | 500 | \$ 2.53 | \$ 1,266.00 | \$ 36.70 |
| | 9/2/2022 | BIAFW | 500 | \$ 2.60 | \$ 1,300.00 | \$ 35.00 |
| | 9/8/2022 | PSFE | 1,100 | \$ 1.80 | \$ 1,981.54 | \$ 0.92 |
| | 9/13/2022 | WLDSW | 1,200 | \$ 0.45 | \$ 540.00 | \$ 73.00 |
| | 9/13/2022 | BXRX | 2,500 | \$ 0.32 | \$ 797.56 | \$ 60.12 |
| | 9/13/2022 | WLDS | 300 | \$ 4.70 | \$ 1,410.00 | \$ 29.50 |
| | 9/14/2022 | SQ | 25 | \$ 67.23 | \$ 1,680.83 | \$ 15.96 |