

Fill in this information to identify the case:

Debtor Lordstown Motors Corp.

United States Bankruptcy Court for the: _____ District of Delaware
(State)

Case number 23-10831

Official Form 410

Proof of Claim

04/22

Read the instructions before filling out this form. This form is for making a claim for payment in a bankruptcy case. Do not use this form to make a request for payment of an administrative expense. Make such a request according to 11 U.S.C. § 503.

Filers must leave out or redact information that is entitled to privacy on this form or on any attached documents. Attach redacted copies or any documents that support the claim, such as promissory notes, purchase orders, invoices, itemized statements of running accounts, contracts, judgments, mortgages, and security agreements. **Do not send original documents;** they may be destroyed after scanning. If the documents are not available, explain in an attachment.

A person who files a fraudulent claim could be fined up to \$500,000, imprisoned for up to 5 years, or both. 18 U.S.C. §§ 152, 157, and 3571.

Fill in all the information about the claim as of the date the case was filed. That date is on the notice of bankruptcy (Form 309) that you received.

Part 1: Identify the Claim

1. Who is the current creditor?	<u>Allan Eisen</u> Name of the current creditor (the person or entity to be paid for this claim)	
	Other names the creditor used with the debtor _____	
2. Has this claim been acquired from someone else?	<input checked="" type="checkbox"/> No <input type="checkbox"/> Yes. From whom? _____	
3. Where should notices and payments to the creditor be sent?	Where should notices to the creditor be sent? Allan Eisen 18819 Sodbury St Orlando, FL 32833, United States Federal Rule of Bankruptcy Procedure (FRBP) 2002(g) Contact phone <u>2564667674</u> Contact email <u>tunica0m1l@brighthouse.com</u>	Where should payments to the creditor be sent? (if different) Contact phone _____ Contact email _____ Uniform claim identifier for electronic payments in chapter 13 (if you use one): _____
4. Does this claim amend one already filed?	<input checked="" type="checkbox"/> No <input type="checkbox"/> Yes. Claim number on court claims registry (if known) _____ Filed on _____ MM / DD / YYYY	
5. Do you know if anyone else has filed a proof of claim for this claim?	<input checked="" type="checkbox"/> No <input type="checkbox"/> Yes. Who made the earlier filing? _____	



Part 2: Give Information About the Claim as of the Date the Case Was Filed

6. Do you have any number you use to identify the debtor? ☐ No
☒ Yes. Last 4 digits of the debtor's account or any number you use to identify the debtor: RIDEQ ____

7. How much is the claim? \$ 800.00 Does this amount include interest or other charges?
☒ No
☐ Yes. Attach statement itemizing interest, fees, expenses, or other charges required by Bankruptcy Rule 3001(c)(2)(A).

8. What is the basis of the claim? Examples: Goods sold, money loaned, lease, services performed, personal injury or wrongful death, or credit card.
Attach redacted copies of any documents supporting the claim required by Bankruptcy Rule 3001(c).
Limit disclosing information that is entitled to privacy, such as health care information.

Stock Loss

9. Is all or part of the claim secured? ☒ No
☐ Yes. The claim is secured by a lien on property.
Nature or property:
☐ Real estate: If the claim is secured by the debtor's principle residence, file a *Mortgage Proof of Claim Attachment* (Official Form 410-A) with this *Proof of Claim*.
☐ Motor vehicle
☐ Other. Describe: _____
Basis for perfection: _____
Attach redacted copies of documents, if any, that show evidence of perfection of a security interest (for example, a mortgage, lien, certificate of title, financing statement, or other document that shows the lien has been filed or recorded.)
Value of property: \$ _____
Amount of the claim that is secured: \$ _____
Amount of the claim that is unsecured: \$ _____ (The sum of the secured and unsecured amount should match the amount in line 7.)
Amount necessary to cure any default as of the date of the petition: \$ _____
Annual Interest Rate (when case was filed) _____ %
☐ Fixed
☐ Variable

10. Is this claim based on a lease? ☒ No
☐ Yes. Amount necessary to cure any default as of the date of the petition. \$ _____

11. Is this claim subject to a right of setoff? ☒ No
☐ Yes. Identify the property: _____



12. Is all or part of the claim entitled to priority under 11 U.S.C. § 507(a)?

A claim may be partly priority and partly nonpriority. For example, in some categories, the law limits the amount entitled to priority.

☒ No

☐ Yes. Check all that apply:

☐ Domestic support obligations (including alimony and child support) under 11 U.S.C. § 507(a)(1)(A) or (a)(1)(B).

Amount entitled to priority

\$ _____

☐ Up to \$3,350* of deposits toward purchase, lease, or rental of property or services for personal, family, or household use. 11 U.S.C. § 507(a)(7).

\$ _____

☐ Wages, salaries, or commissions (up to \$15,150*) earned within 180 days before the bankruptcy petition is filed or the debtor's business ends, whichever is earlier. 11 U.S.C. § 507(a)(4).

\$ _____

☐ Taxes or penalties owed to governmental units. 11 U.S.C. § 507(a)(8).

\$ _____

☐ Contributions to an employee benefit plan. 11 U.S.C. § 507(a)(5).

\$ _____

☐ Other. Specify subsection of 11 U.S.C. § 507(a)() that applies.

\$ _____

* Amounts are subject to adjustment on 4/01/25 and every 3 years after that for cases begun on or after the date of adjustment.

13. Is all or part of the claim pursuant to 11 U.S.C. § 503(b)(9)?

☒ No

☐ Yes. Indicate the amount of your claim arising from the value of any goods received by the debtor within 20 days before the date of commencement of the above case, in which the goods have been sold to the Debtor in the ordinary course of such Debtor's business. Attach documentation supporting such claim.

\$ _____

Part 3: Sign Below

The person completing this proof of claim must sign and date it. FRBP 9011(b).

If you file this claim electronically, FRBP 5005(a)(2) authorizes courts to establish local rules specifying what a signature is.

A person who files a fraudulent claim could be fined up to \$500,000, imprisoned for up to 5 years, or both. 18 U.S.C. §§ 152, 157, and 3571.

Check the appropriate box:

☒ I am the creditor.

☐ I am the creditor's attorney or authorized agent.

☐ I am the trustee, or the debtor, or their authorized agent. Bankruptcy Rule 3004.

☐ I am a guarantor, surety, endorser, or other codebtor. Bankruptcy Rule 3005.

I understand that an authorized signature on this *Proof of Claim* serves as an acknowledgement that when calculating the amount of the claim, the creditor gave the debtor credit for any payments received toward the debt.

I have examined the information in this *Proof of Claim* and have reasonable belief that the information is true and correct.

I declare under penalty of perjury that the foregoing is true and correct.

Executed on date 09/11/2023
MM / DD / YYYY

/s/Allan L. Eisen
Signature

Print the name of the person who is completing and signing this claim:

Name Allan L. Eisen
First name Middle name Last name

Title _____

Company _____
Identify the corporate servicer as the company if the authorized agent is a servicer.

Address _____

Contact phone _____ Email _____



KCC ePOC Electronic Claim Filing Summary

For phone assistance: Domestic (877) 709-4757 | International 424-236-7235

Debtor: 23-10831 - Lordstown Motors Corp. District: District of Delaware		
Creditor: Allan Eisen 18819 Sodbury St Orlando, FL, 32833 United States Phone: 2564667674 Phone 2: 2564664349 Fax: Email: tunica0m1L@brighthouse.com	Has Supporting Documentation: Yes, supporting documentation successfully uploaded Related Document Statement:	
	Has Related Claim: No Related Claim Filed By:	
	Filing Party: Creditor	
Other Names Used with Debtor:	Amends Claim: No Acquired Claim: No	
Basis of Claim: Stock Loss	Last 4 Digits: Yes - RIDEQ	Uniform Claim Identifier:
Total Amount of Claim: 800.00	Includes Interest or Charges: No	
Has Priority Claim: No	Priority Under:	
Has Secured Claim: No Amount of 503(b)(9): No Based on Lease: No Subject to Right of Setoff: No	Nature of Secured Amount: Value of Property: Annual Interest Rate: Arrearage Amount: Basis for Perfection: Amount Unsecured:	
Submitted By: Allan L. Eisen on 11-Sep-2023 8:07:28 a.m. Eastern Time Title: Company:		

August 1, 2023 - August 31, 2023

Account Number: [REDACTED] 5484

Account Type: ROTH IRA

DOB: 1948

E*TRADE Securities LLC

P.O. Box 484

Jersey City, NJ 07303-0484

1-800-387-2331 etrade.com

Member SIPC

Customer Update:

As of January 3, 2023, E*TRADE Securities LLC (ETS) makes no investment recommendations. ETS also no longer makes recommendations regarding opening an investment advisory account with E*TRADE Capital Management, LLC.

Connect to E*TRADE on the go.

The award-winning E*TRADE Mobile app puts everything you need in the palm of your hand—investing, trading, research, easy-to-use tools, and more. Visit etrade.com/mobile or your device's app store to download today!

ALLAN L EISEN
ROTH IRA ETRADE CUSTODIAN
18819 SODBURY ST
ORLANDO FL 32833-5222

Account At A Glance**\$53,120.01**

As of 07/31/23

\$52,251.37

As of 08/31/23

Net Change:**\$-868.64**

DETACH HERE

ALLAN L EISEN
ROTH IRA ETRADE CUSTODIAN
18819 SODBURY ST
ORLANDO FL 32833-5222

Make checks payable to E*TRADE Securities LLC

Mail deposits to:

E*TRADE SECURITIES LLC
P.O. Box 484
Jersey City, NJ 07303-0484

DETACH HERE

Use This Deposit Slip**Acct: [REDACTED] -5484**

To contribute to your IRA, please use our online Transfer Money service at www.etrade.com/transfermoney or use this deposit slip.

Check Amount \$

Year of Contribution:

2023

Rollover

083120230001 333606954845

Please refer to the E*TRADE Securities LLC ("ETS") Customer Agreement (the "Customer Agreement") at www.etrade.com/custagree for a complete discussion of the terms and conditions governing your account and the Relationship Summary at www.etrade.com/formers for information about ETS services. If you have questions regarding the Customer Agreement, your account, or positions and balances please contact us through etrade.com or call 800-387-2331. THE INFORMATION CONTAINED IN YOUR ACCOUNT STATEMENT SHALL BE BINDING UPON YOU IF YOU DO NOT OBJECT, EITHER IN WRITING OR VIA ELECTRONIC MAIL WITHIN FIVE (5) DAYS AFTER THE ACCOUNT STATEMENT IS FIRST RECEIVED BY YOU.

Securities products and services are offered by ETS, Member SIPC. Your account is carried by ETS, Member SIPC, which maintains your funds and securities deposited with ETS directly by you or your advisor firm. Please review this statement carefully. If you disagree with any transaction, or if there are any errors or omissions, please notify us at 800-387-2331 within five (5) days of your receipt of this statement. Any oral statements that you have made to us should be confirmed in writing.

Applicable Rules and Regulations. All transactions in your account shall be subject to the constitution, rules, regulations, customs, and usages of the exchange or market, and its clearinghouse, where the transactions are executed by ETS or its agents, including ETS affiliates. Also, where applicable, the transactions shall be subject to the provisions of the Securities Act of 1933, as amended, the Securities Exchange Act of 1934, as amended, and the rules and regulations of the Securities and Exchange Commission ("SEC"), the Board of Governors of the Federal Reserve System, and any applicable self-regulatory organization. For information about FINRA's Broker Check Program, including an investor brochure, please contact FINRA at 800-253-8999 or www.finra.org.

Securities Pricing. The amounts printed in the total market value column of the Account Holdings section, or any amounts derived therefrom, are based on US month end prices and are provided by outside quotation services for the securities held by us in your account. Prices of municipal bonds, certain over-the-counter securities, and federal obligations are approximations and are only for guidance purposes. Prices used are based on the last reported transaction known to the quotation services or the yields or values that are calculated on the basis of these prices. Value of brokered CDs reflected on this statement is estimated by a third-party pricing service. Actual value may differ if you elect to sell your CD(s) in the secondary market. Bonds and/or fixed income securities trade differently than equity securities and do not trade on a liquid exchange. Rather, they trade in the OTC (over-the-counter) market and sufficient liquidity may not exist for you to sell your position prior to maturity. The sale of instruments prior to maturity may result in a loss of principal.

Interest/Dividends. We are required by law to report annually to you and to the Internal Revenue Service on Form 1099 any taxable interest, dividends, and capital gains credited to your account, as well as any taxes withheld. The year-to-date figures shown on your statement reflects these amounts classified to the best of our current knowledge based on activity. In certain circumstances, payments may be subject to reclassification, such reclassifications will be reflected to the Internal Revenue Service on your Form 1099. Your statement may not reflect all adjustments required for tax purposes, please refer to your tax documents.

SIPC and other Insurance Coverage. ETS is a member of the Securities Investor Protection Corporation ("SIPC"). SIPC currently protects the assets in each of your securities accounts at ETS up to \$500,000 (including \$250,000 for claims for cash). Visit www.sipc.org or call 202-371-8300 for more information including a brochure on SIPC protection. (Please note that money market mutual fund balances are considered securities rather than cash.) Additional protection for ETS has been secured through an independent insurer, more information about which can be found at <https://us.etrade.com/customer-service/fag>. The market risks associated with investing and any resulting losses are not covered by SIPC or the additional protection.

Payment for Order Flow. The SEC (and FINRA) requires that all broker-dealers inform their customers when a new account is opened, and on an annual basis thereafter, of payment for order flow practices (compensation received for placing orders through specialists on national securities exchanges, over-the-counter market makers, alternative trading systems, and ECNs (collectively, "market centers"). Consistent with the overriding principle of best execution, ETS routes orders to various market centers. ETS receives remuneration (generally in the form of per share cash payments or through profit sharing arrangements) for routing orders in securities to particular market centers for execution. Such remuneration is considered compensation to ETS, and the source and amount of any compensation received in connection with your transaction will be disclosed to you upon written request. ETS posts SEC Rule 806 quarterly reports that include order routing disclosures including the material aspects of the firm's relationships with outside market centers at www.etrade.com. In addition, on request, ETS may provide the identity of the venue to which your orders were routed for execution in the six months prior to the request, whether the orders were directed orders or nondirected orders, and the time of the transactions, if any, that resulted from such orders. ETS regularly assesses the execution quality provided by the market centers to which we route order flow in seeking best execution for our clients. For non-directed client orders, it is our policy to route orders to market centers based on a number of factors that are more fully discussed in the Supplemental Materials of FINRA Rule 5310, including where applicable, but not necessarily limited to, speed of execution, price improvement opportunities, differences in price-disimprovement, likelihood of executions, the marketability of the order, size guarantees, service levels and support, the reliability of order handling systems, customer needs and expectations, transaction costs and whether the firm will receive remuneration for routing order flow to such market centers. Price improvement is available under certain market conditions and for certain order types and we regularly monitor executions to test for such improvement if available.

Margin Accounts. The amount of margin required will be the greater of the (1) amount required by applicable laws, regulations, rules of applicable self-regulatory organizations and clearinghouses, or (2) amount required by ETS in its sole discretion. You will be charged interest on a daily basis on all debit balances that you owe to ETS and on credit extended to you by ETS for the purpose of purchasing, carrying, or trading in securities or otherwise. Interest is calculated on a 360-day basis using settlement date balances. Except as otherwise agreed by you and ETS the applicable interest rate for margin loans will be determined by adding the prevailing base rate and the applicable sliding scale percentage rate, which is in turn determined by your average daily debit balance. Your stated interest rate is subject to change without notice during each period in accordance with fluctuations in your average daily debit balance and changes to the base rate that are attributable to a change in the Federal Funds rate. ETS will provide you with at least 30 days' prior written notice before changing your stated interest rate for any other reason. Information about ETS's base rate is available upon written request to ETS. For more information on how ETS calculates interest, please see the Customer Agreement. If you have a margin account, this statement is a combined statement for both your margin account and special memorandum account. The permanent record of the separate account as required by Regulation T of the Federal Reserve Board is available for your inspection.

Free Credit Balances. Any cash balances in your securities account, which represent an obligation of ETS, are payable to you upon demand and referred to as free credit balances. Your free credit cash balances: 1) can be maintained in the securities account and will earn interest through the "Cash Balance Program" as more fully described at <https://us.etrade.com/options-uninvested-cash>, and 2) as such are held unsegregated and may be used by ETS in the conduct of its business, subject to the limitations of Rule 15c3-3 under the Securities Exchange Act of 1934. Your free credit cash balances can alternatively be directed to other cash balance options.

Other Cash Balance Option. In addition to the Cash Balance Program you may have the option to have free credit balances in your securities account automatically transferred to a

bank sweep product, which is an account at a bank (or banks, collectively, "Program Banks") whose deposits are insured by the FDIC, but which are not obligations of ETS. Accounts opened prior to May 10, 2018 may also be eligible to have their free credit balances transferred to certain money market mutual funds. For information about the products available for free credit balances go to www.etrade.com/sweepoptions ("Sweep Program"). The products available under the Sweep Program may change at any time. Notification of changes will be provided to the extent required by applicable law. Additionally, you may at any time change your selection among the products available in the Sweep Program. You may elect, subject to any limitation set forth in any Sweep Program agreement or, with respect to an account at a bank, under federal banking laws (which includes, without limitation, program banks' potential requirement of seven days' notice before permitting a withdrawal or transfer of funds from such account) that the balance in the bank deposit account be returned, or shares of the money market mutual fund in which you have a beneficial interest be liquidated and the proceeds returned, as applicable, to the securities account or remitted to you. With respect to your decision to participate in a bank sweep product, please remember you are responsible for monitoring the cash balance of your bank sweep accounts deposited with the Program Banks to determine whether you have total deposit balances held in the same capacity at any Program Bank in excess of the \$250,000 FDIC deposit insurance limit.

Options Trading. If you are approved for options trading, you are responsible for advising ETS of any material changes in your investment objectives or financial situation. Additionally, further information regarding commissions and other charges related to the execution of option transactions has been included in the confirmations of such transactions previously provided to you. Such information will also be made available promptly upon request.

Random Allocation of Options Assignment Notices. Assignment notices for short option contracts are allocated among customer short option positions in accordance with a random allocation method. A detailed description of ETS's random allocation method is available at etrade.com and a hard copy of the allocation procedures is available upon request.

Financial Statement. A financial statement of ETS is available for your inspection at its offices or at etrade.com or will be mailed to you upon your written request.

Valuation of Certain Alternative Investments (including DPP and REIT securities). Account statements may include valuations for alternative investments. The values of such investments are estimated and reflect either the most recent valuation provided to ETS by the issuer of the investment, or a valuation provided by an independent third party, which ETS will obtain as part of its services, on an annual or more frequent basis. ETS does not provide a guarantee of the value or the appropriateness of the appraisal methodology applied by the independent third party in providing a value and ETS assumes no responsibility for verifying the accuracy of any valuation presented. Failure of the issuer to provide a timely valuation is your sole responsibility. The investment may reflect no value if a valuation was unavailable or is inaccurate. Investment in non-publicly traded securities, which includes alternative investments, often involves higher risk and less liquidity than other investments. Because there is generally no secondary market for alternative investments, the values reported to you should not be relied upon as any indication of market value. You may be able to sell your interests in the alternative investments held in your account, if at all, only for amounts that are substantially less than their purchase price or the estimated values on your account statements. If your statement reflects a distribution that included a return of capital on Direct Participation Programs and/or REITs, please note that said distributions are reported and a net investment per share estimated value is also reported. Pricing and distribution information has been provided by the sponsor, issuer or other external party responsible for reporting of the DPP or REIT and the classification of distributions as income or return of capital, in whole or in part, is subject to final accounting by such party(ies) and will be reported to you on a Form 1099 or K-1, as applicable.

In case of errors or questions about your Electronic Fund Transfers please contact us at 800-387-2331 immediately or in writing at E*TRADE Securities LLC, PO Box 484, Jersey City, NJ 07303-0484 or by visiting etrade.com, if you think your statement or receipt is wrong or if you need more information about a transfer on the statement or receipt. The information contained in your account statement shall be binding upon you if you do not object within sixty (60) days for any transfer of funds subject to Regulation E, such as ATM and point-of-sale transfers, debit transactions, direct deposits, and withdrawals. We must hear from you no later than 60 days after we sent you the FIRST statement on which the error or problem appeared.

- (1) Tell us your name and account number.
- (2) Describe the error or the transfer you are unsure about, and explain as clearly as you can why you believe it is an error or why you need more information.
- (3) Tell us the dollar amount of the suspected error.

We will investigate your complaint and will correct any error promptly. If we take more than 10 business days to do this, we will credit your account for the amount you think is in error, so that you will have the use of the money during the time it takes us to complete our investigation.

ETS is a subsidiary of Morgan Stanley. If you have a complaint, please call 800-387-2331, or write to: E*TRADE Securities LLC, P.O. Box 484, Jersey City, NJ 07303-0484.

Definitions:

Activity/Trade Date. Trade date or transaction date of other entries.

Total Portfolio Percent. Percentage of your holding by issue of security.

DIV/CPN % Yield. Annual dividend or bond % yield.

Open Orders. Buy or sell orders for securities that have not yet been executed or canceled.

Symbol/CUSIP. The symbol or identification number for each security.

*** Denotes a security where either the country of issue or country of incorporation of the issuer is outside the US.

Pending and Unsettled Transactions. Based on the timing of statement generation, the value of certain unsettled trades and/or pending transactions (e.g., transactions that take place or settle after the last business day of the month) may not be reflected on your statement. Please e-mail us through etrade.com or call 800-387-2331 with any questions.

Account Number: 5484

Statement Period : August 1, 2023 - August 31, 2023

Account Type: ROTH IRA

ACCOUNT OVERVIEW

Last Statement Date: July 31, 2023

Beginning Account Value (On 07/31/23): \$ 53,120.01
Ending Account Value (On 08/31/23): \$ 52,251.37
Net Change: \$ -868.64

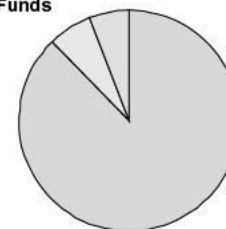
For current rates, please visit etrade.com/rates

RETIREMENT ACTIVITY SUMMARY

	THIS PERIOD	YEAR TO DATE
2022 Contribution	\$ 0.00	\$ 0.00
2023 Contribution	\$ 0.00	\$ 0.00

ASSET ALLOCATION (AS OF 08/31/23)

5.90% - Cash & Equivalents
6.42% - Mutual Funds



87.68% - Stocks, Options & ETF (Long)

ACCOUNT VALUE SUMMARY

	AS OF 08/31/23	AS OF 07/31/23	% CHANGE
Cash & Equivalents	\$ 3,084.83	\$ 6,976.08	-55.78%
Total Cash/Margin Debt	\$ 3,084.83	\$ 6,976.08	-55.78%
Stocks, Options & ETF (Long)	\$ 45,814.49	\$ 46,143.93	-0.71%
Mutual Funds	\$ 3,352.05	\$ 0.00	-
Total Value of Securities	\$ 49,166.54	\$ 46,143.93	6.55%
Net Account Value	\$ 52,251.37	\$ 53,120.01	-1.64%

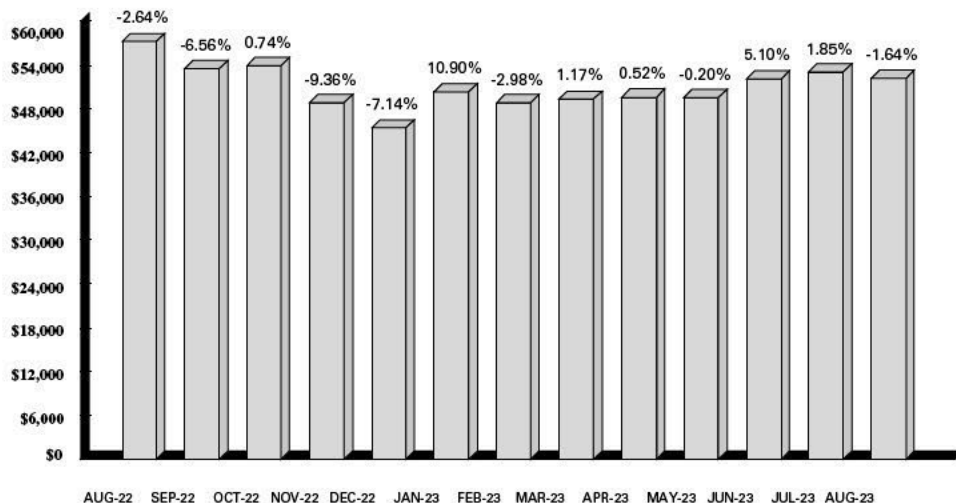
Securities products and services are offered by E*TRADE Securities LLC, Member FINRA/SIPC. Sweep deposits may be swept to Morgan Stanley Bank, N.A., and/or Morgan Stanley Private Bank, National Association, Members FDIC, and depending on the sweep program may also be swept to third party banks. Subject to other funds a customer might maintain at the recipient bank, sweep funds will receive a maximum of \$250,000 in FDIC insurance coverage at each federally insured depository institution to which funds are swept. Securities products and cash balances other than sweep deposits are not FDIC insured, not guaranteed deposits or obligations of Morgan Stanley Bank, Morgan Stanley Private Bank, or any third party bank to which they might be swept, and are subject to investment risk, including possible loss of the principal invested.

Account Number: 5484

Statement Period : August 1, 2023 - August 31, 2023

Account Type: ROTH IRA

NET ACCOUNT VALUE BY MONTH END

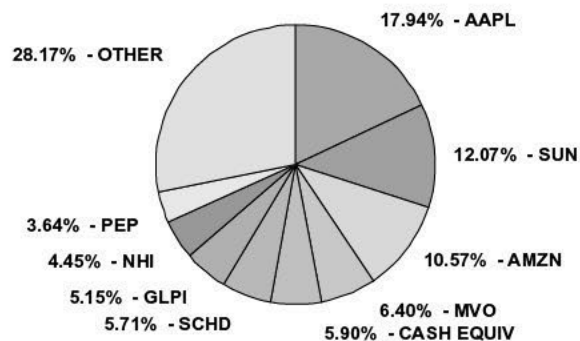


ACCOUNT TRANSACTION SUMMARY

DESCRIPTION	THIS PERIOD	YEAR TO DATE
Securities Purchased	\$ -3,900.00	\$ -8,442.77
Securities Sold	\$ 0.00	\$ 11,204.82
<u>Interest Received</u>		
Tax Exempt	\$ 0.04	\$ 0.18
<u>Dividends Received</u>		
Tax Exempt	\$ 153.97	\$ 679.25
Master Limited Partnerships	\$ 113.38	\$ 331.87
Royalties	\$ 0.00	\$ 268.82

Refer to the Retirement Activity Summary section on page 3 for a summary of your retirement account transactions.

TOP 10 ACCOUNT HOLDINGS (AS OF 08/31/23)



Account Number: [REDACTED] 5484

Statement Period : August 1, 2023 - August 31, 2023

Account Type: ROTH IRA

ACCOUNT HOLDINGS

CASH & CASH EQUIVALENTS (5.90% of Holdings)

DESCRIPTION	PORTFOLIO %	AMOUNT
CASH BALANCE		
Opening Balance		-11.41
Closing Balance	-0.09	-48.02
Retirement Sweep Deposit Account Program		
Opening Balance		6,987.49
Closing Balance	6.00	3,132.85
Average Balance		4,857.64
Retirement Sweep Deposit Account Program Balance by Bank as of August 31, 2023		
MORGAN STANLEY PVT BANK		3,132.85
<p>The Retirement Sweep Deposit Account Program (RSDA Program) is a bank sweep program associated with eligible E*TRADE Securities LLC retirement accounts. Cash balances held in retirement accounts are swept to bank deposit accounts at Morgan Stanley Bank and Morgan Stanley Private Bank, National Association, which are affiliates of E*TRADE Securities LLC. The RSDA Program is designed to offer up to \$500,000 in FDIC deposit insurance coverage to eligible retirement accounts. RSDA Program balances held at the affiliated banks are not covered by SIPC protection. Your balance in the RSDA Program is available to your retirement account for your investment and use. To learn more about the RSDA Program, please review your RSDA Program Customer Agreement, visit www.etrade.com, or call us at 1-800-387-2331.</p>		
TOTAL CASH & CASH EQUIVALENTS	5.90%	\$3,084.83

STOCKS, OPTIONS & EXCHANGE-TRADED FUNDS (87.68% of Holdings)

DESCRIPTION	SYMBOL/ CUSIP	ACCT TYPE	QUANTITY	PRICE	TOTAL MKT VALUE	PORTFOLIO (%)	EST. ANNUAL INCOME	EST. ANNUAL YIELD (%)
AMAZON.COM INC	AMZN	Cash	40	138.0100	5,520.40	10.57		
APPLE INC	AAPL	Cash	49.8964	187.8700	9,374.04	17.94	48.00	0.51%
*** ARBUTUS BIOPHARMA CORP COM	ABUS	Cash	200	2.0300	406.00	0.78		
B & G FOODS INC	BGS	Cash	60.9231	12.7900	779.21	1.49	46.00	5.90%
BLINK CHARGING CO COMMON STOCK	BLNK	Cash	30	3.9400	118.20	0.23		
*** CENNTRO ELECTRIC GROUP LIMITED ORDINARY SHARES	CENN	Cash	14	0.2860	4.00	0.01		
CHARGEPOINT HOLDINGS INC	CHPT	Cash	25	7.1600	179.00	0.34		
CLASS A COMMON STOCK COINBASE GLOBAL INC CLASS A COMMON STOCK	COIN	Cash	5	79.6000	398.00	0.76		

Account Number: [REDACTED] 5484

Statement Period : August 1, 2023 - August 31, 2023

Account Type: ROTH IRA

STOCKS, OPTIONS & EXCHANGE-TRADED FUNDS (Continued)

DESCRIPTION	SYMBOL/ CUSIP	ACCT TYPE	QUANTITY	PRICE	TOTAL MKT VALUE	PORTFOLIO (%)	EST. ANNUAL INCOME	EST. ANNUAL YIELD (%)
DOUGLAS ELLIMAN INC COMMON STOCK	DOUG	Cash	26.4248	2.5100	66.33	0.13		
ELLINGTON FINANCIAL INC COMMON STOCK	EFC	Cash	124.6172	13.3700	1,666.13	3.19	224.00	13.44%
GAMING & LEISURE PROPERTIES INC	GLPI	Cash	56.8139	47.4000	2,692.98	5.15	166.00	6.16%
GEN DIGITAL INC COMMON STOCK	GEN	Cash	74.0507	20.2500	1,499.53	2.87	37.00	2.47%
GENERAL MOTORS COMPANY	GM	Cash	50.4792	33.5100	1,691.56	3.24	18.00	1.06%
HP INC COM	HPQ	Cash	26.1395	29.7100	776.61	1.49	27.00	3.48%
ISUN INC COMMON STOCK	ISUN	Cash	60	0.3440	20.64	0.04		
KARTOON STUDIOS INC COMMON STOCK	TOON	Cash	60	1.5700	94.20	0.18		
LORDSTOWN MTRS CORP CL A NEW	RIDEQ	Cash	3	4.0000	12.00	0.02		
MV OIL TR	MVO	Cash	263.3743	12.7000	3,344.85	6.40	465.00	13.90%
NATIONAL HEALTH INVESTORS INC	NHI	Cash	45.46	51.1300	2,324.37	4.45	164.00	7.06%
OCUPHIRE PHARMA INC COMMON STOCK	OCUP	Cash	200	3.9900	798.00	1.53		
PEPSICO INC COMMON STOCK	PEP	Cash	10.6953	177.9200	1,902.92	3.64	54.00	2.84%
QUANTUMSCAPE CORPORATION CLASS A COMMON STOCK	QS	Cash	25	7.1400	178.50	0.34		
SCHWAB STRATEGIC TR US DIVIDEND EQUITY ETF	SCHD	Cash	40	74.5300	2,981.20	5.71	104.00	3.49%
SUNOCO LP COMMON UNITS REPRESENTING LIMITED PARTNER INTERESTS	SUN	Cash	137.1816	45.9600	6,304.87	12.07	462.00	7.33%
TAYSHA GENE THERAPIES INC COMMON STOCK	TSHA	Cash	200	3.2000	640.00	1.22		

Account Number: 5484

Statement Period : August 1, 2023 - August 31, 2023

Account Type: ROTH IRA

STOCKS, OPTIONS & EXCHANGE-TRADED FUNDS (Continued)

DESCRIPTION	SYMBOL/ CUSIP	ACCT TYPE	QUANTITY	PRICE	TOTAL MKT VALUE	PORTFOLIO (%)	EST. ANNUAL INCOME	EST. ANNUAL YIELD (%)
VERIZON COMMUNICATIONS	VZ	Cash	41.4537	34.9800	1,450.05	2.78	108.00	7.45%
WESTERN ASSET MORTGAGE CAPITAL CORPORATION	WMC	Cash	51	10.8000	550.80	1.05	71.00	12.89%
XENETIC BIOSCIENCES INC COMMON STOCK	XBIO	Cash	10	4.0100	40.10	0.08		
TOTAL STOCKS, OPTIONS & ETF					\$45,814.49	87.68%	\$1,994.00	4.35%

MUTUAL FUNDS (6.42% of Holdings)

DESCRIPTION	SYMBOL/ CUSIP	ACCT TYPE	QUANTITY	PRICE	TOTAL MKT VALUE	PORTFOLIO (%)	EST. ANNUAL INCOME
CORNERSTONE STRATEGIC VALUE FD COMMON SHARES	CLM	Cash	202.9545	8.3200	1,688.58	3.23	299.00
CORNERSTONE TOTAL RETURN FUND COMMON SHARES	CRF	Cash	202.8626	8.2000	1,663.47	3.18	286.00
TOTAL MUTUAL FUNDS					\$3,352.05	6.42%	\$585.00

TOTAL PRICED PORTFOLIO HOLDINGS (ON 08/31/23)

\$52,251.37

TOTAL ESTIMATED ACCOUNT HOLDINGS ANNUAL INCOME

\$2,579.00

TRANSACTION HISTORY

SECURITIES PURCHASED OR SOLD (MUTUAL FUND ACTIVITY LISTED IN SEPARATE SECTION)

TRADE DATE	SETTLEMENT DATE	DESCRIPTION	SYMBOL/ CUSIP	TRANSACTION TYPE	QUANTITY	PRICE	AMOUNT PURCHASED	AMOUNT SOLD
08/15/23 09:30	08/17/23	TAYSHA GENE THERAPIES INC COMMON STOCK	TSHA	Bought	200	2.2600	452.00	
TOTAL SECURITIES ACTIVITY							\$452.00	

Account Number: [REDACTED] 5484

Statement Period : August 1, 2023 - August 31, 2023

Account Type: ROTH IRA

MUTUAL FUNDS PURCHASED OR SOLD

TRADE DATE	SETTLEMENT DATE	DESCRIPTION	SYMBOL/ CUSIP	TRANSACTION TYPE	QUANTITY	PRICE	AMOUNT PURCHASED	AMOUNT SOLD
08/07/23	08/09/23	CORNERSTONE STRATEGIC VALUE FD COMMON SHARES	CLM	Bought	200	8.7700	1,754.00	
08/07/23	08/09/23	CORNERSTONE TOTAL RETURN FUND COMMON SHARES	CRF	Bought	200	8.4700	1,694.00	
TOTAL MUTUAL FUNDS ACTIVITY							\$3,448.00	

DIVIDENDS & INTEREST ACTIVITY

DATE	TRANSACTION TYPE	DESCRIPTION	SYMBOL/ CUSIP	AMOUNT DEBITED	AMOUNT CREDITED
08/01/23	Dividend	VERIZON COMMUNICATIONS CASH DIV ON 40.67013 SHS REC 07/10/23 PAY 08/01/23	VZ		26.54
08/01/23	Dividend	**ALLSPRING SHORT TERM MUN BOND FUND CL A RECORD 07/31/23 PAY 07/31/23	WSMAX		8.71
08/04/23	Dividend	NATIONAL HEALTH INVESTORS INC CASH DIV ON 44.73264 SHS REC 06/30/23 PAY 08/04/23 NON-QUALIFIED DIVIDEND	NHI		40.26
08/17/23	Dividend	APPLE INC CASH DIV ON 49.82809 SHS REC 08/14/23 PAY 08/17/23	AAPL		11.96
08/21/23	Dividend	SUNOCO LP COMMON UNITS REPRESENTING LIMITED PARTNER INTERESTS DIST ON 134.65979 SHS REC 08/14/23 PAY 08/21/23	SUN		113.38
08/25/23	Dividend	ELLINGTON FINANCIAL INC COMMON STOCK CASH DIV ON 123.20850 SHS REC 07/31/23 PAY 08/25/23 NON-QUALIFIED DIVIDEND	EFC		18.48

Account Number: 5484

Statement Period : August 1, 2023 - August 31, 2023

Account Type: ROTH IRA

DIVIDENDS & INTEREST ACTIVITY (Continued)

DATE	TRANSACTION TYPE	DESCRIPTION	SYMBOL/ CUSIP	AMOUNT DEBITED	AMOUNT CREDITED
08/28/23	Interest	RETIREMENT SWEEP DEPOSIT ACCOUNT INTEREST			0.04
08/31/23	Dividend	CORNERSTONE STRATEGIC VALUE FD COMMON SHARES CASH DIV ON 200 SHS REC 08/15/23 PAY 08/31/23 NON-QUALIFIED DIVIDEND	CLM		24.56
08/31/23	Dividend	CORNERSTONE TOTAL RETURN FUND COMMON SHARES CASH DIV ON 200 SHS REC 08/15/23 PAY 08/31/23 NON-QUALIFIED DIVIDEND	CRF		23.46
TOTAL DIVIDENDS & INTEREST ACTIVITY					\$267.39
NET DIVIDENDS & INTEREST ACTIVITY					\$267.39

OTHER ACTIVITY

DATE	DESCRIPTION	SYMBOL/ CUSIP	TRANSACTION TYPE	QUANTITY	PRICE	AMOUNT DEBITED	AMOUNT CREDITED
08/01/23	VERIZON COMMUNICATIONS REIN @ 33.8681 REC 07/10/23 PAY 08/01/23	VZ	Div Reinvest	0.7836		26.54	
08/04/23	NATIONAL HEALTH INVESTORS INC REIN @ 55.3500 REC 06/30/23 PAY 08/04/23	NHI	Div Reinvest	0.7273		40.26	
08/17/23	APPLE INC REIN @ 174.9916 REC 08/14/23 PAY 08/17/23	AAPL	Div Reinvest	0.0683		11.96	
08/21/23	SUNOCO LP COMMON UNITS REPRESENTING LIMITED PARTNER INTERESTS REIN @ 44.9586 REC 08/14/23 PAY 08/21/23	SUN	Div Reinvest	2.5218		113.38	
08/25/23	ELLINGTON FINANCIAL INC COMMON STOCK REIN @ 13.1185 REC 07/31/23 PAY 08/25/23	EFC	Div Reinvest	1.4087		18.48	
08/31/23	CORNERSTONE STRATEGIC VALUE FD COMMON SHARES REIN @ 8.3125 REC 08/15/23 PAY 08/31/23	CLM	Div Reinvest	2.9545		24.56	

Account Number: [REDACTED] 5484

Statement Period : August 1, 2023 - August 31, 2023

Account Type: ROTH IRA

OTHER ACTIVITY (Continued)

DATE	DESCRIPTION	SYMBOL/ CUSIP	TRANSACTION TYPE	QUANTITY	PRICE	AMOUNT DEBITED	AMOUNT CREDITED
08/31/23	CORNERSTONE TOTAL RETURN FUND COMMON SHARES REIN @ 8.1951 REC 08/15/23 PAY 08/31/23	CRF	Div Reinvest	2.8626		23.46	
TOTAL OTHER ACTIVITY						\$258.64	
NET OTHER ACTIVITY						\$258.64	

RETIREMENT SWEEP DEPOSIT ACCOUNT PROGRAM (RSDA) ACTIVITY (0.0100% APY/0.0100%APY Earned as of 08/31/23)

The Retirement Sweep Deposit Account Program (RSDA Program) is a bank sweep program associated with eligible E*TRADE Securities LLC retirement accounts. Cash balances held in retirement accounts are swept to bank deposit accounts at Morgan Stanley Bank and Morgan Stanley Private Bank, National Association, which are affiliates of E*TRADE Securities LLC. The RSDA Program is designed to offer up to \$500,000 in FDIC deposit insurance coverage to eligible retirement accounts. RSDA Program balances held at the affiliated banks are not covered by SIPC protection. Your balance in the RSDA Program is available to your retirement account for your investment and use. To learn more about the RSDA Program, please review your RSDA Program Customer Agreement, visit www.etrade.com, or call us at 1-800-387-2331.

DATE	TRANSACTION TYPE	DESCRIPTION	TRANSACTION AMOUNT
08/01/23		OPENING BALANCE	\$6,987.49
08/01/23	Deposit	RETIREMENT SWEEP DEP FDIC-INS INTRADAY PURCHASE	23.84
08/02/23	Withdrawal	RETIREMENT SWEEP DEP FDIC-INS	-26.54
08/04/23	Deposit	RETIREMENT SWEEP DEP FDIC-INS INTRADAY PURCHASE	40.26
08/07/23	Withdrawal	RETIREMENT SWEEP DEP FDIC-INS	-40.26
08/09/23	Withdrawal	RETIREMENT SWEEP DEP FDIC-INS	-3,448.00
08/17/23	Withdrawal	RETIREMENT SWEEP DEP FDIC-INS INTRADAY PURCHASE	-440.04
08/18/23	Withdrawal	RETIREMENT SWEEP DEP FDIC-INS	-11.96
08/21/23	Deposit	RETIREMENT SWEEP DEP FDIC-INS INTRADAY PURCHASE	113.38
08/22/23	Withdrawal	RETIREMENT SWEEP DEP FDIC-INS	-113.38
08/25/23	Deposit	RETIREMENT SWEEP DEP FDIC-INS INTRADAY PURCHASE	18.48
08/28/23	Withdrawal	RETIREMENT SWEEP DEP FDIC-INS INTEREST REINVESTMENT	-18.44
08/31/23	Deposit	RETIREMENT SWEEP DEP FDIC-INS INTRADAY PURCHASE	48.02
08/31/23		CLOSING BALANCE	\$3,132.85



Portfolios

Refresh Sep 11, 2023 07:16 AM ET Help

Positions Performance Historical value Margin Gains & Losses Allocation & Risk Estimated Income Shareholder Actions

Als Roth IRA -1006
DOB: 1948
Old E-Trade #XXX5484

Day's Gain Unrealized
\$0.00 (0.00%)

Show less

Transfer money

Power for 2023

View By All Positions RIDEQ All securities

Edit Lots Reset Sort Wash sale adjustment Customize

Symbol	Actions	Last Price \$	Change \$	Change %	Qty #	Price Paid \$	Day's Gain \$	Total Gain \$	Total Gain %	Value \$
> RIDEQ Trade		4.43	0.00	0.00%	3	266.55003	0.00	-786.36	-98.34%	13.29

Viewing 1 of 1 filtered results

Cash	Transfer money	\$3,084.83
Total		\$799.65 \$0.00 -\$786.36 -98.34% \$3,098.12