

Your claim can be filed electronically on KCC's website at <https://epoc.kccllc.net/lordstown>

United States Bankruptcy Court for the District of Delaware		
Indicate Debtor against which you assert a claim by checking the appropriate box below. <b>(Check only one Debtor per claim form.)</b>		
<input type="checkbox"/> Lordstown Motors Corp. (Case No. 23-10831)	<input checked="" type="checkbox"/> Lordstown EV Corporation (Case No. 23-10832)	<input type="checkbox"/> Lordstown EV Sales LLC (Case No. 23-10833)

## 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. Other than a claim under 11 U.S.C. § 503(b)(9), this form should not be used to make a claim for an administrative expense arising after the commencement of the case.

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.

### Part 1: Identify the Claim

1. Who is the current creditor?	<u>Alvin Rivera Charles Schwab &amp; Co Inc Cust Roth Contributory IRA</u> <small>Name of the current creditor (the person or entity to be paid for this claim)</small>  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?	<b>Where should notices to the creditor be sent?</b>  <u>Alvin Rivera Charles Schwab &amp; Co Inc Cust Roth Contributory IRA</u> <u>5 Helios Novelty Online LLC</u> Name <u>450 Lexington Ave Unit 422</u> Number Street <u>New York New York 10163-0422</u> City State ZIP Code <u>USA</u> Country Contact phone <u>347-583-3420</u> Contact email <u>alvin.rivera2011nyc@gmail.com</u>	<b>Where should payments to the creditor be sent? (if different)</b> <u>Alvin Rivera Charles Schwab &amp; Co Inc Cust Roth Contributory IRA</u> <u>5 Helios Novelty Online LLC</u> Name <u>450 Lexington Ave Unit 422</u> Number Street <u>New York New York 10163-0422</u> City State ZIP Code <u>USA</u> Country Contact phone <u>347-583-3420</u> Contact email <u>alvin.rivera2011nyc@gmail.com</u>
Federal Rule of Bankruptcy Procedure (FRBP) 2002(g) RECEIVED SEP 18 2023 KURTZMAN CARSON CONSULTANTS		
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 ____/____/____	
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:

1188

7. How much is the claim?

\$ 2,000.00

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.

11. U.S.C. §507(a)(5)

9. Is all or part of the claim secured?

☐ No

☒ Yes. The claim is secured by a lien on property.

Nature of property:

☐ Real estate: If the claim is secured by the debtor's principal residence, file a *Mortgage Proof of Claim Attachment* (Official Form 410-A) with this *Proof of Claim*.

☐ Motor vehicle

☒ Other. Describe: Equity and cash covered option positions.

Basis for perfection:

Brokerage Statement Enclosed.

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: \$ 2,000.00

Annual Interest Rate (when case was filed) 7.00 %

☒ 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: \_\_\_\_\_

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

☐ No

☒ Yes. Check all that apply:

Amount entitled to priority

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

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

\$ \_\_\_\_\_

☐ 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).

\$ 2,000.00

☐ 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 entitled to administrative priority 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.

\$ 2,000.00

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.

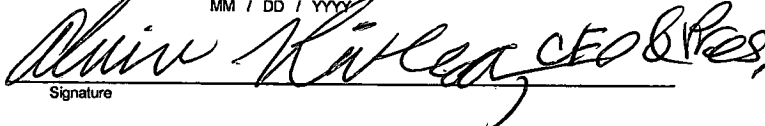
☐ I am a guarantor, surety, endorser, or other codebtor. Bankruptcy Rule 3005.

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 09/14/2023  
MM / DD / YYYY

Signature 

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

Name Alvin Rivera  
First name Middle name Last name  
Title CEO & President  
Company 5 Helios Novelty Online LLC  
Identify the corporate servicer as the company if the authorized agent is a servicer.  
Address 450 Lexington Ave Unit 422  
Number Street City State ZIP Code Country  
New York New York 10163-0422 USA  
Contact phone 347-583-3420 Email alvin.rivera2011nyc@gmail.com

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KURTZMAN CARSON CONSULTANTS



Roth Contributory IRA of  
**ALVIN RIVERA**  
**CHARLES SCHWAB & CO INC CUST**  
**ROTH CONTRIBUTORY IRA**

Account Number  
**5483-1188**

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

Case No.

23-10831

23-10832

23-10833

Lordstown Motors Corp.

ALVIN RIVERA  
CHARLES SCHWAB & CO INC CUST  
ROTH CONTRIBUTORY IRA  
5 HELIOS NOVELTY ONLINE LLC  
PO BOX 422  
NEW YORK NY 10163-0422

## Manage Your Account

### Questions about this statement

1 (800) 435-4000 - 24/7 Customer service

For the most current records on your account visit us at  
[schwab.com/login](https://schwab.com/login) Statements are archived up to 10 years online

Equity and Option Positions,  
Equity = \$1,662.82  
option = \$100.00  
Legal & Postage = \$237.18  
Claim Total = \$2,000.00

## Commitment to Transparency

Client Relationship Summaries and Best Interest disclosures at [schwab.com/transparency](https://schwab.com/transparency)

## Terms and Conditions

### GENERAL INFORMATION AND KEY TERMS:

This Account statement is furnished solely by Charles Schwab & Co., Inc. ("Schwab") for your Account at Schwab ("Account"). Unless otherwise defined herein, capitalized terms have the same meanings as in your Account Agreement. If you receive any other communication from any source other than Schwab which purports to represent your holdings at Schwab (including balances held at a Depository Institution) you should verify its content with this statement.

**AIP (Automatic Investment Plan) Customers:** Schwab receives remuneration in connection with certain transactions effected through Schwab. If you participate in a systematic investment program through Schwab, the additional information normally detailed on a trade confirmation will be provided upon request.

**Average Daily Balance:** Average daily composite of all cash balances that earn interest and all loans from Schwab that are charged interest.

**Bank Sweep and Bank Sweep for Benefit Plans Features:** Schwab acts as your agent and custodian in establishing and maintaining your Deposit Account(s) as a feature of your brokerage account(s). Deposit accounts held through bank sweep features constitute direct obligations of one of more FDIC insured banks ("Affiliated Banks") that are affiliated with Schwab and are not obligations of Schwab. Funds swept to Affiliated Banks are eligible for deposit insurance from the FDIC up to the applicable limits for each bank for funds held in the same insurable capacity. The balance in the Deposit Accounts can be withdrawn on your order and the proceeds returned to your brokerage account or remitted to you as provided in your Account Agreement. For information on FDIC insurance and its limits, as well as other important disclosures about the bank sweep feature(s) in your account, please refer to the Cash Features Disclosure Statement available online or from a Schwab representative.

**Cash:** Any Free Credit Balance owed by us to you payable upon demand which, although accounted for on our books of record, is not segregated and may be used in the conduct of this firm's business.

**Dividend Reinvestment Customers:** Dividend reinvestment transactions were effected by Schwab acting as a principal for its own account, except for the reinvestment of Schwab dividends, for which an independent broker-dealer acted as the buying agent. Further information on these transactions will be furnished upon written request.

**Interest:** For the Schwab One Interest, Bank Sweep, and Bank Sweep for Benefit Plans features, interest is paid for a period that may differ from the Statement Period. Balances include interest paid as indicated on your statement by Schwab or one or more of its Affiliated Banks. These balances do not include interest that may have accrued during the Statement Period after interest is paid. The interest paid may include interest that accrued in the prior Statement Period. For the Schwab One Interest feature, interest accrues daily from the second-to-last business day of the prior month and is posted on the second-to-last business day of the current month. For the bank sweep feature(s), interest accrues daily from the 16th day of the prior month and is credited/posted on the first business day after the 15th of the current month.

If, on any given day, the interest that Schwab calculates for the Free Credit Balances in the Schwab One Interest feature in your brokerage account is less than \$.005, you will not accrue any interest on that day. For balances held at banks affiliated with Schwab in the Bank Sweep and Bank Sweep for Benefit Plans features, interest will accrue even if the amount is less than \$.005.

**Margin Account Customers:** This is a combined statement of your margin account and special memorandum account maintained for you under Section 220.5 of Regulation T issued by the Board of Governors of the Federal Reserve System. The permanent record of the separate account as required by Regulation T is available for your inspection.

Securities purchased on margin are Schwab's collateral for the loan to you. It is important that you fully understand the risks involved in trading securities on margin. These risks include:

- You can lose more funds than you deposit in the margin account.
- Schwab can force the sale of securities or other assets in any of your account(s) to maintain the required account equity without contacting you.
- You are not entitled to choose which assets are liquidated nor are you entitled to an extension of time on a margin call.
- Schwab can increase both its "house" maintenance margin requirements and the maintenance margin requirements for your Account at any time without advance written notice to you.

**Market Price:** The most recent price evaluation available to Schwab on the last business day of the report period, normally the last trade price or bid as of market close. Unpriced securities denote that no market evaluation update is currently available. Price evaluations are obtained from outside parties. Schwab shall have no responsibility for the accuracy or timeliness of any such valuations. Assets Not Held at Schwab Are not held in your Account or covered by the Account's SIPC account protection and are not otherwise in Schwab's custody and are being provided as a courtesy to you. Information on Assets Not Held at Schwab, including but not limited to valuations, is reported solely based on information you provide to Schwab. Schwab can neither validate nor certify the existence of Assets Not Held at Schwab or the accuracy, completeness or timeliness of the information about Assets Not Held at Schwab, whether provided by you or otherwise. Descriptions of Assets Not Held at Schwab may be abbreviated or truncated. Some securities, especially thinly traded equities in the OTC market or foreign markets, may not report the most current price and are indicated as Stale Priced. Certain Limited Partnership (direct participation programs) and unlisted Real Estate Investment Trust (REIT) securities, for which you may see a value on your monthly Account statement that reflects the issuer's appraised estimated value, are not listed on a national securities exchange, and are generally illiquid. Even if you are able to sell such securities, the price received may be less than the per share appraised estimated value provided in the account statement.

**Market Value:** The Market Value is computed by multiplying the Market Price by the Quantity of Shares. This is the dollar value of your present holdings in your specified Schwab Account or a summary of the Market Value summed over multiple accounts.

**Non-Publicly Traded Securities:** All assets shown on this statement, other than certain direct investments which may be held by a third party, are held in your Account. Values of certain Non-Publicly Traded Securities may be furnished by a third party as provided by Schwab's Account Agreement. Schwab shall have no responsibility for the accuracy or timeliness of such valuations. The Securities Investor Protection Corporation (SIPC) does not cover many limited partnership interests.

**Schwab Sweep Money Funds:** Includes the primary money market funds into which Free Credit Balances may be automatically invested pursuant to your Account Agreement. Schwab or an affiliate acts and receives compensation as the Investment Advisor, Shareholder Service Agent and Distributor for the Schwab Sweep Money Funds. The amount of such compensation is disclosed in the prospectus. The yield information for Schwab Sweep Money Funds is the current 7-day yield as of the statement period. Yields vary. If on any given day, the accrued daily dividend for your selected sweep money fund as calculated for your account is less than 1/2 of 1 cent (\$.0005), your account will not earn a dividend for that day. In addition, if you do not accrue at least 1 daily dividend of \$.01 during a pay period, you will not receive a money market dividend for that period. Schwab and the Schwab Sweep Money Funds investment advisor may be voluntarily reducing a portion of a Schwab Sweep Money Fund's expenses. Without these reductions, yields would have been lower.

**Securities Products and Services:** Securities products and services

are offered by Charles Schwab & Co., Inc., Member SIPC. Securities products and services, including unswept intraday funds and net credit balances held in brokerage accounts are not deposits or other obligations of, or guaranteed by, any bank, are not FDIC insured, and are subject to investment risk and may lose value. SIPC does not cover balances held at banks affiliated with Schwab in the Bank Sweep and Bank Sweep for Benefit Plans features. Please see your Cash Feature Disclosure Statement for more information on insurance coverage. **Yield to Maturity:** This is the actual average annual return on a note if held to maturity.

**Gain (or Loss):** Unrealized Gain (or Loss) and Realized Gain (or Loss) sections ("Gain/Loss Section(s)") contain a gain or a loss summary of your Account. This information has been provided on this statement at the request of your Advisor, if applicable. This information is not a solicitation or a recommendation to buy or sell. Schwab does not provide tax advice and encourages you to consult with your tax professional. Please view the Cost Basis Disclosure Statement for additional information on how gain (or loss) is calculated and how Schwab reports adjusted cost basis information to the IRS. **Accrued Income:** Accrued Income is the sum of the total accrued interest and/or accrued dividends on positions held in your Account, but the interest and/or dividends have not been received into your account. Schwab makes no representation that the amounts shown (or any other amount) will be received. Accrued amounts are not covered by SIPC account protection until actually received and held in the Account.

**IN CASE OF ERRORS OR DISCREPANCIES:** If you find an error or discrepancy relating to your brokerage activity (other than an electronic fund transfer) you must notify us promptly, but no later than 10 days after this statement is sent or made available to you. If this statement shows that we have mailed or delivered security certificate(s) that you have not received, notify Schwab immediately.

You may call us at 800-435-4000. (Outside the U.S., call +1-415-667-8400.) If you're a client of an independent investment advisor, call us at 800-515-2157. Any oral communications should be re-confirmed in writing to further protect your rights, including rights under the Securities Investor Protection Act (SIPA). If you do not so notify us, you agree that the statement activity and Account balance are correct for all purposes with respect to those brokerage transactions.

**IN CASE OF COMPLAINTS:** If you have a complaint regarding your Schwab statement, products or services, please write to the Client Advocacy Team at Charles Schwab & Co., Inc., Attention: Client Advocacy Team, 211 Main St., San Francisco, CA 94105, USA, or call Schwab Signature Alliance at 800-515-2157.

**Address Changes:** If you fail to notify Schwab in writing of any change of address or phone number, you may not receive important notifications about your Account, and trading or other restrictions might be placed on your Account.

### Additional Information:

We are required by law to report to the Internal Revenue Service adjusted cost basis information (if applicable), certain payments to you and credits to your Account during the calendar year. Retain this statement for income tax purposes. A financial statement for your inspection is available at Schwab's offices or a copy will be mailed to you upon written request. Any third party trademarks appearing herein are the property of their respective owners. Schwab and Charles Schwab Bank are affiliates of each other and subsidiaries of the Charles Schwab Corporation.

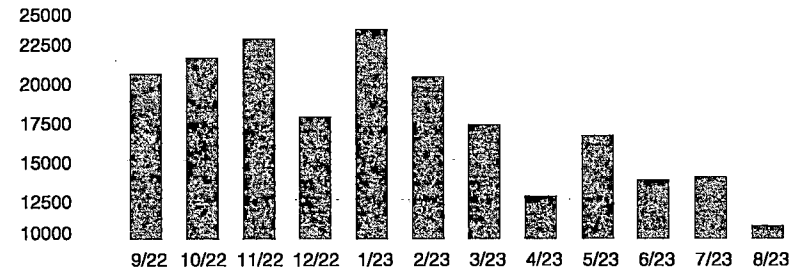
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(0822-20UL)

Account Value as of 08/31/2023: \$ 10,853.98<sup>Δ</sup>

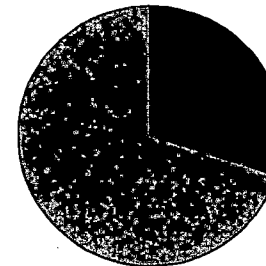
Change in Account Value	This Period	Year to Date
<b>Starting Value</b>	<b>\$ 13,998.37</b>	<b>\$ 17,830.38</b>
Credits	2.93	5,805.18
Debits	0.00	(240.46)
Transfer of Securities (In/Out)	(569.15)	(5,215.01)
Income Reinvested	0.00	0.00
Change in Value of Investments	(2,578.17)	(7,326.11)
<b>Ending Value on 08/31/2023<sup>Δ</sup></b>	<b>\$ 10,853.98</b>	<b>\$ 10,853.98</b>
<b>Total Change in Account Value</b>	<b>\$ (3,144.39)</b>	<b>\$ (6,976.40)</b>
	<b>(22.46)%</b>	<b>(39.13)%</b>

Account Value



**Asset Composition**

	Market Value	% of Account Assets
Bank Sweep <sup>x,z</sup>	\$ 3,958.95	30%
Equities	9,403.15	70%
<b>Total Assets Long<sup>Δ</sup></b>	<b>\$ 13,362.10</b>	
Options (Short)	(2,508.12)	
<b>Total Assets Short<sup>s</sup></b>	<b>\$ (2,508.12)</b>	
Settled Debit Balance	0.00	
<b>Total Account Value<sup>Δ</sup></b>	<b>\$ 10,853.98</b>	<b>100%</b>



■ 30% Bank Sweep [X,Z]  
■ 70% Equities



Roth Contributory IRA of  
**ALVIN RIVERA**  
**CHARLES SCHWAB & CO INC CUST**  
**ROTH CONTRIBUTORY IRA**

Account Number  
**5483-1188**

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

**Gain or (Loss) on Investments Sold**

**Unrealized Gain or (Loss)**

**Gain or (Loss) Summary**

**This Period**

<b>All Investments</b>	<b>\$96.65</b>	<b>\$(98,197.07)</b>
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*Values may not reflect all of your gains/losses; Schwab has provided accurate gain and loss information wherever possible for most investments. Cost basis may be incomplete or unavailable for some of your holdings and may change or be adjusted in certain cases. Statement information should not be used for tax preparation, instead refer to official tax documents. For additional information refer to Terms and Conditions.*

**Income Summary**

**This Period**

**Year To Date**

Bank Sweep Interest	2.39	25.47
Cash Dividends	0.54	5.63
<b>Total Income</b>	<b>2.93</b>	<b>31.10</b>

**Margin Information**

The opening settled debit balance in this limited margin account for the statement period was \$0.00.  
There were no margin debits during the margin period. **No interest was charged.**

## Cash Transactions Summary

	This Period	Year to Date
<b>Starting Cash *</b>	<b>\$ 6,361.07</b>	<b>\$ 10,000.00</b>
Deposits and other Cash Credits	0.00	5,774.08
Investments Sold	0.00	4,616.08
Dividends and Interest	2.93	31.10
Withdrawals and other Debits	0.00	(240.46)
Investments Purchased	(2,405.05)	(16,221.85)
Fees and Charges	0.00	0.00
<b>Total Cash Transaction Detail</b>	<b>(2,402.12)</b>	<b>(6,041.05)</b>
<b>Ending Cash *</b>	<b>\$ 3,958.95</b>	<b>\$ 3,958.95</b>

\*Cash (includes any cash debit balance) held in your account plus the value of any cash invested in a sweep money fund.

## Investment Detail - Bank Sweep

Bank Sweep	Starting Balance	Ending Balance	% of Account Assets
CHARLES SCHWAB BANK	6,361.07	3,958.95	30%
<b>Total Bank Sweep <sup>x,z</sup></b>	<b>6,361.07</b>	<b>3,958.95</b>	<b>30%</b>
<b>Total Bank Sweep</b>		<b>3,958.95</b>	<b>30%</b>



## Investment Detail - Equities

	Quantity	Market Price	Market Value	% of Account Assets	Unrealized Gain or (Loss)	Estimated Yield	Estimated Annual Income
<b>Equities</b>			<i>Cost Basis</i>				
<b>FUELCELL ENERGY INC °</b> SYMBOL: FCEL	4,000.0000	1.40000	5,600.00 1,614.38	42%	3,985.62	N/A	N/A
<b>GLOBALSTAR INC °</b> SYMBOL: GSAT	2,200.0000	1.44000	3,168.00 2,926.00	24%	242.00	N/A	N/A
<b>INOVIO PHARMA</b> SYMBOL: INO	100.0000	0.44990	44.99 156.00	<1%	(111.01)	N/A	N/A
<b>LORDSTOWN MTRS CORP</b> CLASS A SYMBOL: RIDEQ	6.0000	4.00000	24.00 1,662.82	<1%	(1,638.82)	N/A	N/A
<b>MULLEN AUTOMOTIVE INC °</b> SYMBOL: MULN	239.0000	0.52700	125.95 100,321.21	<1%	(98,109.92)	N/A	N/A
<b>QUANTUM CP DLT &amp; STO °</b> SYMBOL: QMCO	400.0000	0.62000	248.00 3,600.00	2%	(3,352.00)	N/A	N/A
<b>SNDL INC F</b> SYMBOL: SNDL	100.0000	1.79000	179.00 151.00	1%	28.00	N/A	N/A
<b>SORRENTO THERAPEUTCS</b> SYMBOL: SRNEQ	100.0000	0.13210	13.21 211.08	<1%	(197.87)	N/A	N/A
<b>Total Equities</b>	<b>7,145.0000</b>		<b>9,403.15</b>	<b>70%</b>	<b>(99,154.00)</b>		<b>N/A</b>
			<b>Total Cost Basis:</b>				<b>110,642.49</b>



Roth Contributory IRA of  
**ALVIN RIVERA**  
**CHARLES SCHWAB & CO INC CUST**  
**ROTH CONTRIBUTORY IRA**

Account Number  
**5483-1188**

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

## Investment Detail - Options

	Quantity	Market Price	Market Value	% of Account Assets	Unrealized Gain or (Loss)
<b>Options</b>			<i>Cost Basis</i>		
<b>CALL FUELCELL ENERGY INC</b>	20.0000 <sup>S</sup>	0.02200	(44.00)		442.82
\$12 EXP 01/19/24			(486.82)		
SYMBOL: FCEL 01/19/2024 12.00 C					
<b>CALL FUELCELL ENERGY INC</b>	20.0000 <sup>S</sup>	0.00740	(14.80)		72.00
\$22 EXP 01/19/24			(86.80)		
SYMBOL: FCEL 01/19/2024 22.00 C					
<b>CALL GLOBALSTAR INC</b>	22.0000 <sup>S</sup>	0.02700	(59.40)		306.10
\$5 EXP 01/19/24			(365.50)		
SYMBOL: GSAT 01/19/2024 5.00 C					
<b>CALL LORDSTOWN MTRS CORP</b>	1.0000 <sup>S</sup>	0.00010	(0.01)		4.34
\$15 ADJ EXP 01/19/24			(4.35)		
REPS 6 RIDEQ+\$2.84 CASH					
SYMBOL: RIDE1 01/19/2024 15.00 C					
<b>CALL MULLEN AUTOMOTIVE I</b>	5.0000 <sup>S</sup>	0.00340	(1.70)		120.01
\$7 ADJ EXP 01/19/24			(121.71)		
REPS 1 MULN					
SYMBOL: MULN1 01/19/2024 7.00 C					
<b>CALL SNDL INC</b>	1.0000 <sup>S</sup>	0.14500	(14.50)		34.85
\$7 EXP 01/17/25			(49.35)		
SYMBOL: SNDL 01/17/2025 7.00 C					
<b>CALL SORRENTO THERAPEUTC</b>	1.0000 <sup>S</sup>	0.06410	(6.41)		32.94
\$5 EXP 01/17/25			(39.35)		
** CLOSING ONLY **					
SYMBOL: SRNEQ 01/17/2025 5.00 C					

## Investment Detail - Options (continued)

	Quantity	Market Price	Market Value	% of Account Assets	Unrealized Gain or (Loss)
<b>Options (continued)</b>			<i>Cost Basis</i>		
<b>PUT MULLEN AUTOMOTIVE IN</b>	47.0000 <sup>S</sup>	0.49670	(2,334.49)		(42.66)
\$0.5 ADJ EXP 01/19/24			(354.70)		
REPS 1 MULN					
SYMBOL: MULN1 01/19/2024 0.50 P					
<b>PUT SNDL INC</b>	1.0000 <sup>S</sup>	0.32810	(32.81)		(13.47)
\$0.5 ADJ EXP 01/19/24			(19.34)		
REPS 10 SNDL					
SYMBOL: SNDL1 01/19/2024 0.50 P					
<b>Total Options</b>	(118.0000)		(2,508.12)		956.93
		<b>Total Cost Basis:</b>	(1,527.92)		

Option Customers: Be aware of the following: 1) Commissions and other charges related to the execution of option transactions have been included in confirmations of such transactions previously furnished to you and will be made available promptly upon request 2) You should advise us promptly of any material changes in your investment objectives or financial situation 3) Exercise assignment notices for the option contracts are allocated among customer short positions pursuant to an automated procedure which randomly selects from among all customer short option positions those contracts which are subject to exercise, including positions established on the day of assignment 4) Realized gain/loss of underlying securities is adjusted to reflect the premiums of assigned or exercised options. Please consult your tax advisor or IRS publication 550, Investment Income and Expenses, for additional information on Options.

## Investment Detail - Unpriced Securities

	Quantity	Market Price	Market Value	Unrealized Gain or (Loss)
<b>Unpriced Securities</b>			<i>Cost Basis</i>	
<b>IMARA INC BE+</b>	100.0000	N/A	N/A	N/A
			0.00	
<b>Total Unpriced Securities</b>	100.0000		N/A	N/A
		<b>Total Cost Basis:</b>	0.00	



Roth Contributory IRA of  
**ALVIN RIVERA**  
**CHARLES SCHWAB & CO INC CUST**  
**ROTH CONTRIBUTORY IRA**

Account Number  
**5483-1188**

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

## Investment Detail - Total

*Estimated Annual Income ("EAI") and Estimated Yield ("EY") calculations are for informational purposes only and are derived from information provided by outside parties. Schwab cannot guarantee the accuracy of such information. Since the interest and dividends are subject to change at any time, they should not be relied upon exclusively for making investment decisions. The actual income and yield might be lower or higher than the estimated amounts. EY is based upon EAI and the current price of the security and will fluctuate. For certain types of securities, the calculations could include a return of principal or capital gains in which case EAI and EY would be overstated. EY and EAI are not promptly updated to reflect when an issuer has missed a regular payment or announced changes to future payments, in which case EAI and EY will continue to display at a prior rate.*

Total Investment Detail	10,853.98
Total Account Value (excl. Unpriced Securities)	10,853.98
Total Cost Basis	109,114.57

## Gain or (Loss) on Investments Sold

Investments	Quantity/Par	Acquired/ Opened	Sold/ Closed	Total Proceeds	Cost Basis	Gain or (Loss)
CALL MULLEN AUTOMOTIVE I\$7 ADJ EXP 01/19/24REPS 1 MULN: MULN1 01/19/2024 7.00 C	5.0000 <sup>S</sup>	08/16/23	08/16/23	101.70	5.05	96.65
Total Gain or (Loss) on Investments Sold				101.70	5.05	96.65

*Schwab has provided accurate realized gain and loss information wherever possible for most investments. Cost basis data may be incomplete or unavailable for some of your holdings. If all data for a given investment is not available, the investment will not be listed here.*

*Option Customers: Gain/loss on investments sold is adjusted to reflect the premiums of assigned or exercised options. Please consult IRS publication 550, Investment Income and Expenses, for additional information on Options.*



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## Transaction Detail - Purchases & Sales

### Equities Activity

Settle Date	Trade Dat	Transaction	Description	Quantity	Unit Price	Charges and Interest	Total Amount
08/10/23	08/08/23	Bought	MULLEN AUTOMOTIVE INC: MULN	36.0000	0.5000	0.00	(450.00)
08/11/23	08/11/23	Reverse Split	MULLEN AUTOMOTIVE INC: MULN	5.0000		0.00	
08/11/23	08/11/23	Reverse Split	MULLEN AUTOMOTIVE INCXXX REVERSE SPLIT	(40.0000)		0.00	
08/29/23	08/25/23	Bought	MULLEN AUTOMOTIVE INC: MULN	39.0000	0.5000	0.00	(1,950.00)
<b>Total Equities Activity</b>							<b>(2,400.00)</b>

### Options Activity

Settle Date	Trade Dat	Transaction	Description	Quantity	Unit Price	Charges and Interest	Total Amount
08/08/23	08/08/23	Assigned	PUT MULLEN AUTOMOTIVE IN \$0.5 ADJ EXP 01/19/24REPS 4 MULN: MULN1 01/19/2024 0.50 P	9.0000		0.00	
08/16/23	08/15/23	Cover Short	CALL MULLEN AUTOMOTIVE I \$7 ADJ EXP 01/19/24REPS 1 MULN: MULN1 01/19/2024 7.00 C Includes Exchange Processing Fee \$0.05	5.0000	0.0100	0.05	(5.05)



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## Transaction Detail - Purchases & Sales (continued)

### Options Activity (continued)

Settle Date	Trade Date	Transaction	Description	Quantity	Unit Price	Charges and Interest	Total Amount
08/25/23	08/25/23	Assigned	PUT MULLEN AUTOMOTIVE IN \$0.5 ADJ EXP 01/19/24REPS 1 MULN: MULN1 01/19/2024 0.50 P	39.0000		0.00	

**Total Options Activity** (5.05)

**Total Purchases & Sales** (2,405.05)

## Transaction Detail - Transfers

Settle Date	Trade Date	Transaction	Description	Quantity	Unit Price	Total Amount
08/09/23	08/09/23	Journaled Shares	MULLEN AUTOMOTIVE INC: MULN	(36.0000)	0.1126	(4.05)
08/14/23	08/14/23	Journaled Shares	SPDR DOW JONES INDUSTRIAL AVRG ETF: DIA	(2.0000)	353.0000	(706.00)
08/24/23	08/24/23	Journaled Shares	MULLEN AUTOMOTIVE INC: MULN	95.0000	0.8000	76.00
08/28/23	08/28/23	Journaled Shares	MULLEN AUTOMOTIVE INC: MULN	100.0000	0.6490	64.90

**Total Transfers** (569.15)

## Transaction Detail - Dividends & Interest (including Money Market Fund dividends reinvested)

### Transaction Process

Date	Date	Activity	Description	Credit/(Debit)
08/14/23	08/14/23	Cash Dividend	SPDR DOW JONES: DIA	0.54
08/15/23	08/16/23	Bank Interest <sup>XZ</sup>	BANK INT 071623-081523: SCHWAB BANK	2.39

**Total Dividends & Interest** 2.93

**Total Transaction Detail** (2,971.27)

## Bank Sweep Activity

Transaction Date	Transaction	Description	Withdrawal	Deposit	Balance <sup>x,z</sup>
<b>Opening Balance <sup>x,z</sup></b>					<b>6,361.07</b>
08/10/23	Auto Transfer	BANK TRANSFER TO BROKERAGE	450.00		5,911.07
08/15/23	Interest Paid <sup>x,z</sup>	BANK INTEREST - CHARLES SCHWAB BANK		2.39	5,913.46
08/15/23	Auto Transfer	BANK TRANSFER TO BROKERAGE	1.85		5,911.61
08/17/23	Auto Transfer	BANK TRANSFER TO BROKERAGE	2.66		5,908.95
08/29/23	Auto Transfer	BANK TRANSFER TO BROKERAGE	1,950.00		3,958.95
<b>Total Activity</b>			<b>2,404.51</b>	<b>2.39</b>	
<b>Ending Balance <sup>x,z</sup></b>					<b>3,958.95</b>

Bank Sweep: Interest Rate as of 08/31/23 was 0.45%. <sup>z</sup>

## Open Orders

You can change or cancel any open order by calling us.

	Transaction	Quantity	Order Date	Market Price	Limit Price
CALL QUANTUM CP DLT & ST\$7.5 EXP 11/17/23	Sell	4.0000	03/28/23	0.0002	0.4000
PUT WEWORK INC \$0.5 EXP 01/19/24	Sell	100.0000	05/01/23	0.3972	0.4500
CALL INOVIO PHARMA \$10 EXP 01/19/24	Sell	1.0000	06/03/23	0.0296	1.0000



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## Contribution Summary

	2022	2023
Roth IRA	574.67	0.00
Conversion	1,063.76	1,530.03
<b>Year To Date Total</b>	<b>1,638.43</b>	<b>1,530.03</b>

## Endnotes For Your Account

### Symbol Endnote Legend

<b>Δ</b>	Excluding unpriced securities (see Investment Detail).
<b>◇</b>	Dividends paid on this security will be automatically reinvested.
<b>S</b>	Short sale. Possible tax modifications of the holding period may be required for covered short positions. The market value of these securities will be expressed as a debit and be netted against any long positions in Total Account Value.
<b>X</b>	Bank Sweep deposits are held at FDIC-insured bank(s) ("Banks") that are affiliated with Charles Schwab & Co., Inc.
<b>Z</b>	For Bank Sweep and Bank Sweep for Benefit Plans features, interest is paid for a period that differs from the Statement Period. Balances include interest paid as indicated on your statement by Schwab or one or more of its affiliated banks. These balances do not include interest that may have accrued during the Statement Period after interest is paid. The interest paid may include interest that accrued in the prior Statement Period.

For information on how Schwab pays its representatives, go to <http://www.schwab.com/transparency>.