Form 5500

Department of the Treasury
Internal Revenue Service

Department of Labor
Employee Benefits Security Administration

Pension Benefit Guaranty Corporation

Annual Return/Report of Employee Benefit Plan

This form is required to be filed for employee benefit plans under sections 104 and 4065 of the Employee Retirement Income Security Act of 1974 (ERISA) and sections 6057(b) and 6058(a) of the Internal Revenue Code (the Code).

▶ **Complete all entries in accordance with the instructions to the Form 5500.**

OMB Nos. 1210-0110
1210-0089

2021

This Form is Open to Public Inspection

Part I Annual Report Identification Information

For calendar plan year 2021 or fiscal plan year beginning 01/01/2021 and ending 12/31/2021

A This return/report is for:
- [ ] a multiemployer plan
- [ ] a multiple-employer plan (Filers checking this box must attach a list of participating employer information in accordance with the form instructions.)
- [X] a single-employer plan
- [ ] a DFE (specify) ____

B This return/report is:
- [ ] the first return/report
- [ ] the final return/report
- [ ] an amended return/report
- [ ] a short plan year return/report (less than 12 months)

C If the plan is a collectively-bargained plan, check here. . . . . ▶ [ ]

D Check box if filing under:
- [X] Form 5558
- [ ] automatic extension
- [ ] the DFVC program
- [ ] special extension (enter description)

E If this is a retroactively adopted plan permitted by SECURE Act section 201, check here. . . . . ▶ [ ]

Part II Basic Plan Information—enter all requested information

1a Name of plan
ION GROUP 401(K) PLAN

1b Three-digit plan number (PN) ▶ 002

1c Effective date of plan 06/01/2000

2a Plan sponsor's name (employer, if for a single-employer plan)
Mailing address (include room, apt., suite no. and street, or P.O. Box)
City or town, state or province, country, and ZIP or foreign postal code (if foreign, see instructions)
ION TRADING, INC.

1345 AVENUE OF THE AMERICAS
FLOOR 49
NEW YORK, NY 10105

2b Employer Identification Number (EIN) 36-3080374

2c Plan Sponsor's telephone number 212-906-0050

2d Business code (see instructions) 541511

Caution: A penalty for the late or incomplete filing of this return/report will be assessed unless reasonable cause is established.

Under penalties of perjury and other penalties set forth in the instructions, I declare that I have examined this return/report, including accompanying schedules, statements and attachments, as well as the electronic version of this return/report, and to the best of my knowledge and belief, it is true, correct, and complete.

SIGN HERE	Filed with authorized/valid electronic signature.	10/14/2022	CHARLENE SUMPTER
	Signature of plan administrator	Date	Enter name of individual signing as plan administrator
SIGN HERE			
	Signature of employer/plan sponsor	Date	Enter name of individual signing as employer or plan sponsor
SIGN HERE			
	Signature of DFE	Date	Enter name of individual signing as DFE

3a Plan administrator's name and address [X] Same as Plan Sponsor

3b Administrator's EIN

3c Administrator's telephone number

4 If the name and/or EIN of the plan sponsor or the plan name has changed since the last return/report filed for this plan, enter the plan sponsor's name, EIN, the plan name and the plan number from the last return/report:
a Sponsor's name
c Plan Name

4b EIN

4d PN

5 Total number of participants at the beginning of the plan year	**5**	1462
6 Number of participants as of the end of the plan year unless otherwise stated (welfare plans complete only lines **6a(1), 6a(2), 6b, 6c,** and **6d**).		
a(1) Total number of active participants at the beginning of the plan year	**6a(1)**	747
a(2) Total number of active participants at the end of the plan year	**6a(2)**	1273
b Retired or separated participants receiving benefits	**6b**	9
c Other retired or separated participants entitled to future benefits	**6c**	1253
d Subtotal. Add lines **6a(2)**, **6b**, and **6c**	**6d**	2535
e Deceased participants whose beneficiaries are receiving or are entitled to receive benefits.	**6e**	1
f Total. Add lines **6d** and **6e**	**6f**	2536
g Number of participants with account balances as of the end of the plan year (only defined contribution plans complete this item)	**6g**	2403
h Number of participants who terminated employment during the plan year with accrued benefits that were less than 100% vested	**6h**	55
7 Enter the total number of employers obligated to contribute to the plan (only multiemployer plans complete this item)	**7**	

8a If the plan provides pension benefits, enter the applicable pension feature codes from the List of Plan Characteristics Codes in the instructions:

2E 2F 2G 2J 2K 2T 3D 2R

b If the plan provides welfare benefits, enter the applicable welfare feature codes from the List of Plan Characteristics Codes in the instructions:

9a Plan funding arrangement (check all that apply)

(1)	[ ]	Insurance
(2)	[ ]	Code section 412(e)(3) insurance contracts
(3)	[X]	Trust
(4)	[ ]	General assets of the sponsor

9b Plan benefit arrangement (check all that apply)

(1)	[ ]	Insurance
(2)	[ ]	Code section 412(e)(3) insurance contracts
(3)	[X]	Trust
(4)	[ ]	General assets of the sponsor

10 Check all applicable boxes in 10a and 10b to indicate which schedules are attached, and, where indicated, enter the number attached. (See instructions)

a Pension Schedules

(1)	[X]	**R** (Retirement Plan Information)
(2)	[ ]	**MB** (Multiemployer Defined Benefit Plan and Certain Money Purchase Plan Actuarial Information) - signed by the plan actuary
(3)	[ ]	**SB** (Single-Employer Defined Benefit Plan Actuarial Information) - signed by the plan actuary

b General Schedules

(1)	[X]		**H** (Financial Information)
(2)	[ ]		**I** (Financial Information – Small Plan)
(3)	[ ]	0	**A** (Insurance Information)
(4)	[X]		**C** (Service Provider Information)
(5)	[X]		**D** (DFE/Participating Plan Information)
(6)	[ ]		**G** (Financial Transaction Schedules)

Part III Form M-1 Compliance Information (to be completed by welfare benefit plans)

11a If the plan provides welfare benefits, was the plan subject to the Form M-1 filing requirements during the plan year? (See instructions and 29 CFR 2520.101-2.) ..... ☐ Yes ☐ No

If "Yes" is checked, complete lines 11b and 11c.

11b Is the plan currently in compliance with the Form M-1 filing requirements? (See instructions and 29 CFR 2520.101-2.) ..... ☐ Yes ☐ No

11c Enter the Receipt Confirmation Code for the 2021 Form M-1 annual report. If the plan was not required to file the 2021 Form M-1 annual report, enter the Receipt Confirmation Code for the most recent Form M-1 that was required to be filed under the Form M-1 filing requirements. (Failure to enter a valid Receipt Confirmation Code will subject the Form 5500 filing to rejection as incomplete.)

Receipt Confirmation Code_____

SCHEDULE C (Form 5500)	Service Provider Information	OMB No. 1210-0110
Department of the Treasury Internal Revenue Service Department of Labor Employee Benefits Security Administration Pension Benefit Guaranty Corporation	This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA). ▶ **File as an attachment to Form 5500.**	**2021** **This Form is Open to Public Inspection.**

For calendar plan year 2021 or fiscal plan year beginning 01/01/2021 and ending 12/31/2021

A Name of plan	**B** Three-digit plan number (PN) ▶
ION GROUP 401(K) PLAN	002
C Plan sponsor's name as shown on line 2a of Form 5500	**D** Employer Identification Number (EIN)
ION TRADING, INC.	36-3080374

Part I Service Provider Information (see instructions)

You must complete this Part, in accordance with the instructions, to report the information required for **each person** who received, directly or indirectly, $5,000 or more in total compensation (i.e., money or anything else of monetary value) in connection with services rendered to the plan or the person's position with the plan during the plan year. If a person received **only** eligible indirect compensation for which the plan received the required disclosures, you are required to answer line 1 but are not required to include that person when completing the remainder of this Part.

1 Information on Persons Receiving Only Eligible Indirect Compensation

a Check "Yes" or "No" to indicate whether you are excluding a person from the remainder of this Part because they received only eligible indirect compensation for which the plan received the required disclosures (see instructions for definitions and conditions).. . . . . [X] Yes [ ] No

b If you answered line 1a "Yes," enter the name and EIN or address of each person providing the required disclosures for the service providers who received only eligible indirect compensation. Complete as many entries as needed (see instructions).

(b) Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation

FIDELITY INVESTMENTS INSTITUTIONAL

04-2647786

(b) Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation

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2. Information on Other Service Providers Receiving Direct or Indirect Compensation. Except for those persons for whom you answered "Yes" to line 1a above, complete as many entries as needed to list each person receiving, directly or indirectly, $5,000 or more in total compensation (i.e., money or anything else of value) in connection with services rendered to the plan or their position with the plan during the plan year. (See instructions).

(a) Enter name and EIN or address (see instructions)

GALLAGHER BENEFIT SERVICES INC

36-4291971

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
27	ADVISOR	75000	Yes [ ] No [X]	Yes [ ] No [ ]		Yes [ ] No [ ]

(a) Enter name and EIN or address (see instructions)

STRATEGIC ADVISORS, INC.

04-2654524

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
27	ADVISOR	53377	Yes [ ] No [X]	Yes [ ] No [ ]		Yes [ ] No [ ]

(a) Enter name and EIN or address (see instructions)

GREENLEAF ADVISORS LLC

47-1303673

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
70	INVESTMENT ADVISOR	23576	Yes [ ] No [X]	Yes [ ] No [ ]		Yes [ ] No [ ]

2. Information on Other Service Providers Receiving Direct or Indirect Compensation. Except for those persons for whom you answered "Yes" to line 1a above, complete as many entries as needed to list each person receiving, directly or indirectly, $5,000 or more in total compensation (i.e., money or anything else of value) in connection with services rendered to the plan or their position with the plan during the plan year. (See instructions).

(a) Enter name and EIN or address (see instructions)

FIDELITY INVESTMENTS INSTITUTIONAL

04-2647786

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
37 60 64 65 71	RECORDKEEPER	-253246	Yes [X] No [ ]	Yes [X] No [ ]	0	Yes [X] No [ ]

(a) Enter name and EIN or address (see instructions)

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
			Yes [ ] No [ ]	Yes [ ] No [ ]		Yes [ ] No [ ]

(a) Enter name and EIN or address (see instructions)

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
			Yes [ ] No [ ]	Yes [ ] No [ ]		Yes [ ] No [ ]

Part I Service Provider Information (continued)

3. If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received $1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
AB GLOBAL BOND A - ALLIANCEBERNSTE 39-1657495	0.50%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
CBA LG CAP GR A - FRANKLIN TEMPLET 94-3167260	0.50%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
EV ATL CAP SMID-CP A - BNY MELLON 301 BELLEVUE PARKWAY WILMINGTON, DE 19809	0.50%

Part I Service Provider Information (continued)

3. If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received $1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
INVS DEVELOP MKT A - INVESCO INVES 11 GREENWAY PLAZA, SUITE 100 HOUSTON, TX 77046	0.50%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
INVS DIVRS DIVD R5 - INVESCO INVES 11 GREENWAY PLAZA, SUITE 100 HOUSTON, TX 77046	0.35%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
MFS MID CAP VALUE R3 - MFS SERVICE 04-2865649	0.50%

Part I Service Provider Information (continued)

3. If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received $1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
TRP RETIRE BAL - T. ROWE PRICE SER 52-2269240	0.15%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
TRP RETIREMENT 2005 - T. ROWE PRIC 52-2269240	0.15%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
TRP RETIREMENT 2010 - T. ROWE PRIC 52-2269240	0.15%

Part I Service Provider Information (continued)

3. If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received $1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
TRP RETIREMENT 2015 - T. ROWE PRIC 52-2269240	0.15%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
TRP RETIREMENT 2020 - T. ROWE PRIC 52-2269240	0.15%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
TRP RETIREMENT 2025 - T. ROWE PRIC 52-2269240	0.15%

Part I Service Provider Information (continued)

3. If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received $1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
TRP RETIREMENT 2030 - T. ROWE PRIC 52-2269240	0.15%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
TRP RETIREMENT 2035 - T. ROWE PRIC 52-2269240	0.15%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
TRP RETIREMENT 2040 - T. ROWE PRIC 52-2269240	0.15%

Part I Service Provider Information (continued)

3. If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received $1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
TRP RETIREMENT 2045 - T. ROWE PRIC 52-2269240	0.15%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
TRP RETIREMENT 2050 - T. ROWE PRIC 52-2269240	0.15%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
TRP RETIREMENT 2055 - T. ROWE PRIC 52-2269240	0.15%

Part I Service Provider Information (continued)

3. If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received $1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
TRP RETIREMENT 2060 - T. ROWE PRIC 52-2269240	0.15%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
TRP RETIREMENT 2065 - T. ROWE PRIC 52-2269240	0.15%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
VOYA STABLE VALUE 50 30 BRAINTREE HILL PARK BRAINTREE, MA 02184	0.30%

Part I Service Provider Information (continued)

3. If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received $1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
WF STABLE VALUE	420 MONTGOMERY STREET SAN FRANCISCO, CA 94104	0.25%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
FEDERATED HERMES OPPOR HIGH YLD BD	4000 ERICSSON DRIVE WARRENDALE, PA 15086-7515	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation		**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
GOLDMAN SACHS GQG PARTNERS INTL OP	71 S. WACKER DRIVE 4TH FLOOR CHICAGO, IL 60606	0.17%

Part I Service Provider Information (continued)

3. If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received $1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
MAINSTAY MACKAY HIGHYIELD CORP BD 30 HUDSON STREET 23RD FLOOR ARLINGTON, NJ 07032	0.15%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
MANNING & NAPIER HIGH YIELD BD SRS 290 WOODCLIFF DR. FAIRPORT, NY 14450	0.40%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
MORGAN STANLEY GROWTH PORTFOLIO I 522 FIFTH AVENUE 4TH FLOOR NEW YORK, NY 10036	0.15%

Part I Service Provider Information (continued)

3. If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received $1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
MORGAN STANLEY INTL ADVANTAGE CL I 522 FIFTH AVENUE 4TH FLOOR NEW YORK, NY 10036	0.15%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
PGIM FLOATING RATE INCOME CL Z 655 BROAD STREET NEWARK, NJ 07102	0.15%

(a) Enter service provider name as it appears on line 2	**(b)** Service Codes (see instructions)	**(c)** Enter amount of indirect compensation
FIDELITY INVESTMENTS INSTITUTIONAL	60	0

(d) Enter name and EIN (address) of source of indirect compensation	**(e)** Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
T ROWE PRICE DIVIDEND GROWTH 4515 PAINTERS MILL RD OWINGS MILLS, MD 21117	0.15%

Part II Service Providers Who Fail or Refuse to Provide Information

4 Provide, to the extent possible, the following information for each service provider who failed or refused to provide the information necessary to complete this Schedule.

(a) Enter name and EIN or address of service provider (see instructions)	**(b)** Nature of Service Code(s)	**(c)** Describe the information that the service provider failed or refused to provide

(a) Enter name and EIN or address of service provider (see instructions)	**(b)** Nature of Service Code(s)	**(c)** Describe the information that the service provider failed or refused to provide

(a) Enter name and EIN or address of service provider (see instructions)	**(b)** Nature of Service Code(s)	**(c)** Describe the information that the service provider failed or refused to provide

(a) Enter name and EIN or address of service provider (see instructions)	**(b)** Nature of Service Code(s)	**(c)** Describe the information that the service provider failed or refused to provide

(a) Enter name and EIN or address of service provider (see instructions)	**(b)** Nature of Service Code(s)	**(c)** Describe the information that the service provider failed or refused to provide

(a) Enter name and EIN or address of service provider (see instructions)	**(b)** Nature of Service Code(s)	**(c)** Describe the information that the service provider failed or refused to provide

Part III	**Termination Information on Accountants and Enrolled Actuaries (see instructions)** (complete as many entries as needed)

a Name:

b EIN:

c Position:

d Address:

e Telephone:

Explanation:

a Name:

b EIN:

c Position:

d Address:

e Telephone:

Explanation:

a Name:

b EIN:

c Position:

d Address:

e Telephone:

Explanation:

a Name:

b EIN:

c Position:

d Address:

e Telephone:

Explanation:

a Name:

b EIN:

c Position:

d Address:

e Telephone:

Explanation:

SCHEDULE D (Form 5500)

Department of the Treasury
Internal Revenue Service

Department of Labor
Employee Benefits Security Administration

DFE/Participating Plan Information

This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA).

▶ **File as an attachment to Form 5500.**

OMB No. 1210-0110

2021

This Form is Open to Public Inspection.

For calendar plan year 2021 or fiscal plan year beginning 01/01/2021 and ending 12/31/2021

A Name of plan
ION GROUP 401(K) PLAN

B Three-digit plan number (PN) ▶ 002

C Plan or DFE sponsor's name as shown on line 2a of Form 5500
ION TRADING, INC.

D Employer Identification Number (EIN)
36-3080374

Part I **Information on interests in MTIAs, CCTs, PSAs, and 103-12 IEs (to be completed by plans and DFEs)**
(Complete as many entries as needed to report all interests in DFEs)

a Name of MTIA, CCT, PSA, or 103-12 IE: VOYA STABLE VALUE 50

b Name of sponsor of entity listed in (a): WILMINGTON TRUST RETIREMENT AND INSTUTUTIONAL SERVICES CO

c EIN-PN	**d** Entity code	**e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)
26-1928760-140	C	0

a Name of MTIA, CCT, PSA, or 103-12 IE: MIP CL 1

b Name of sponsor of entity listed in (a): FIDELITY MANAGEMENT TRUST COMPANY

c EIN-PN	**d** Entity code	**e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)
04-3022712-024	C	27592956

a Name of MTIA, CCT, PSA, or 103-12 IE: WF STABLE VALUE

b Name of sponsor of entity listed in (a): WELLS FARGO BANK, N.A.

c EIN-PN	**d** Entity code	**e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)
94-6751924-001	C	791960

a Name of MTIA, CCT, PSA, or 103-12 IE:

b Name of sponsor of entity listed in (a):

c EIN-PN	**d** Entity code	**e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)

a Name of MTIA, CCT, PSA, or 103-12 IE:

b Name of sponsor of entity listed in (a):

c EIN-PN	**d** Entity code	**e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)

a Name of MTIA, CCT, PSA, or 103-12 IE:

b Name of sponsor of entity listed in (a):

c EIN-PN	**d** Entity code	**e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)

a Name of MTIA, CCT, PSA, or 103-12 IE:

b Name of sponsor of entity listed in (a):

c EIN-PN	**d** Entity code	**e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)

a Name of MTIA, CCT, PSA, or 103-12 IE:

b Name of sponsor of entity listed in (a):

c EIN-PN	**d** Entity code	**e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)

a Name of MTIA, CCT, PSA, or 103-12 IE:

b Name of sponsor of entity listed in (a):

c EIN-PN	**d** Entity code	**e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)

a Name of MTIA, CCT, PSA, or 103-12 IE:

b Name of sponsor of entity listed in (a):

c EIN-PN	**d** Entity code	**e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)

a Name of MTIA, CCT, PSA, or 103-12 IE:

b Name of sponsor of entity listed in (a):

c EIN-PN	**d** Entity code	**e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)

a Name of MTIA, CCT, PSA, or 103-12 IE:

b Name of sponsor of entity listed in (a):

c EIN-PN	**d** Entity code	**e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)

a Name of MTIA, CCT, PSA, or 103-12 IE:

b Name of sponsor of entity listed in (a):

c EIN-PN	**d** Entity code	**e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)

a Name of MTIA, CCT, PSA, or 103-12 IE:

b Name of sponsor of entity listed in (a):

c EIN-PN	**d** Entity code	**e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)

a Name of MTIA, CCT, PSA, or 103-12 IE:

b Name of sponsor of entity listed in (a):

c EIN-PN	**d** Entity code	**e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)

a Name of MTIA, CCT, PSA, or 103-12 IE:

b Name of sponsor of entity listed in (a):

c EIN-PN	**d** Entity code	**e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)

a Name of MTIA, CCT, PSA, or 103-12 IE:

b Name of sponsor of entity listed in (a):

c EIN-PN	**d** Entity code	**e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)

a Name of MTIA, CCT, PSA, or 103-12 IE:

b Name of sponsor of entity listed in (a):

c EIN-PN	**d** Entity code	**e** Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)

Part II **Information on Participating Plans (to be completed by DFEs)**
(Complete as many entries as needed to report all participating plans)

a Plan name	
b Name of plan sponsor	**c** EIN-PN
a Plan name	
b Name of plan sponsor	**c** EIN-PN
a Plan name	
b Name of plan sponsor	**c** EIN-PN
a Plan name	
b Name of plan sponsor	**c** EIN-PN
a Plan name	
b Name of plan sponsor	**c** EIN-PN
a Plan name	
b Name of plan sponsor	**c** EIN-PN
a Plan name	
b Name of plan sponsor	**c** EIN-PN
a Plan name	
b Name of plan sponsor	**c** EIN-PN
a Plan name	
b Name of plan sponsor	**c** EIN-PN
a Plan name	
b Name of plan sponsor	**c** EIN-PN
a Plan name	
b Name of plan sponsor	**c** EIN-PN
a Plan name	
b Name of plan sponsor	**c** EIN-PN
a Plan name	
b Name of plan sponsor	**c** EIN-PN

SCHEDULE H (Form 5500)

Department of the Treasury
Internal Revenue Service

Department of Labor
Employee Benefits Security Administration

Pension Benefit Guaranty Corporation

Financial Information

This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA), and section 6058(a) of the Internal Revenue Code (the Code).

▶ **File as an attachment to Form 5500.**

OMB No. 1210-0110

2021

This Form is Open to Public Inspection

For calendar plan year 2021 or fiscal plan year beginning 01/01/2021 and ending 12/31/2021

A Name of plan
ION GROUP 401(K) PLAN

B Three-digit plan number (PN) ▶ 002

C Plan sponsor's name as shown on line 2a of Form 5500
ION TRADING, INC.

D Employer Identification Number (EIN)
36-3080374

Part I Asset and Liability Statement

1 Current value of plan assets and liabilities at the beginning and end of the plan year. Combine the value of plan assets held in more than one trust. Report the value of the plan's interest in a commingled fund containing the assets of more than one plan on a line-by-line basis unless the value is reportable on lines 1c(9) through 1c(14). Do not enter the value of that portion of an insurance contract which guarantees, during this plan year, to pay a specific dollar benefit at a future date. **Round off amounts to the nearest dollar.** MTIAs, CCTs, PSAs, and 103-12 IEs do not complete lines 1b(1), 1b(2), 1c(8), 1g, 1h, and 1i. CCTs, PSAs, and 103-12 IEs also do not complete lines 1d and 1e. See instructions.

Assets		(a) Beginning of Year	(b) End of Year
a Total noninterest-bearing cash	1a	10291	0
b Receivables (less allowance for doubtful accounts):			
(1) Employer contributions	1b(1)	0	0
(2) Participant contributions	1b(2)	0	0
(3) Other	1b(3)	0	0
c General investments:			
(1) Interest-bearing cash (include money market accounts & certificates of deposit)	1c(1)	1075736	3613375
(2) U.S. Government securities	1c(2)	4734	0
(3) Corporate debt instruments (other than employer securities):			
(A) Preferred	1c(3)(A)	0	0
(B) All other	1c(3)(B)	65599	20627
(4) Corporate stocks (other than employer securities):			
(A) Preferred	1c(4)(A)	0	20120
(B) Common	1c(4)(B)	1094927	3990902
(5) Partnership/joint venture interests	1c(5)	0	0
(6) Real estate (other than employer real property)	1c(6)	0	0
(7) Loans (other than to participants)	1c(7)	0	0
(8) Participant loans	1c(8)	1197586	2772514
(9) Value of interest in common/collective trusts	1c(9)	19536561	28384916
(10) Value of interest in pooled separate accounts	1c(10)	0	0
(11) Value of interest in master trust investment accounts	1c(11)	0	0
(12) Value of interest in 103-12 investment entities	1c(12)	0	0
(13) Value of interest in registered investment companies (e.g., mutual funds)	1c(13)	211397543	490513195
(14) Value of funds held in insurance company general account (unallocated contracts)	1c(14)	0	0
(15) Other	1c(15)	-16717	-24827

			(a) Beginning of Year	**(b)** End of Year
1d	Employer-related investments:			
	(1) Employer securities	**1d(1)**	0	0
	(2) Employer real property	**1d(2)**	0	0
e	Buildings and other property used in plan operation	**1e**	0	0
f	Total assets (add all amounts in lines 1a through 1e)	**1f**	234366260	529290822
	Liabilities			
g	Benefit claims payable	**1g**	0	0
h	Operating payables	**1h**	0	0
i	Acquisition indebtedness	**1i**	0	0
j	Other liabilities	**1j**	2114890	0
k	Total liabilities (add all amounts in lines 1g through1j)	**1k**	2114890	0
	Net Assets			
l	Net assets (subtract line 1k from line 1f)	**1l**	232251370	529290822

Part II Income and Expense Statement

2 Plan income, expenses, and changes in net assets for the year. Include all income and expenses of the plan, including any trust(s) or separately maintained fund(s) and any payments/receipts to/from insurance carriers. Round off amounts to the nearest dollar. MTIAs, CCTs, PSAs, and 103-12 IEs do not complete lines 2a, 2b(1)(E), 2e, 2f, and 2g.

			(a) Amount	**(b)** Total
	Income			
a	**Contributions:**			
	(1) Received or receivable in cash from: **(A)** Employers	**2a(1)(A)**	5031474	
	(B) Participants	**2a(1)(B)**	16168206	
	(C) Others (including rollovers)	**2a(1)(C)**	1687636	
	(2) Noncash contributions	**2a(2)**	0	
	(3) Total contributions. Add lines **2a(1)(A), (B), (C),** and line **2a(2)**	**2a(3)**		22887316
b	**Earnings on investments:**			
	(1) Interest:			
	(A) Interest-bearing cash (including money market accounts and certificates of deposit)	**2b(1)(A)**	225	
	(B) U.S. Government securities	**2b(1)(B)**	28	
	(C) Corporate debt instruments	**2b(1)(C)**	2718	
	(D) Loans (other than to participants)	**2b(1)(D)**	0	
	(E) Participant loans	**2b(1)(E)**	152563	
	(F) Other	**2b(1)(F)**	0	
	(G) Total interest. Add lines **2b(1)(A)** through **(F)**	**2b(1)(G)**		155534
	(2) Dividends: **(A)** Preferred stock	**2b(2)(A)**	472	
	(B) Common stock	**2b(2)(B)**	28187	
	(C) Registered investment company shares (e.g. mutual funds)	**2b(2)(C)**	29270413	
	(D) Total dividends. Add lines **2b(2)(A)**, **(B)**, and **(C)**	**2b(2)(D)**		29299072
	(3) Rents	**2b(3)**		0
	(4) Net gain (loss) on sale of assets: **(A)** Aggregate proceeds	**2b(4)(A)**	3603340	
	(B) Aggregate carrying amount (see instructions)	**2b(4)(B)**	3455633	
	(C) Subtract line **2b(4)(B)** from line **2b(4)(A)** and enter result	**2b(4)(C)**		147707
	(5) Unrealized appreciation (depreciation) of assets: **(A)** Real estate	**2b(5)(A)**	0	
	(B) Other	**2b(5)(B)**	274539	
	(C) Total unrealized appreciation of assets. Add lines **2b(5)(A)** and **(B)**	**2b(5)(C)**		274539

		(a) Amount	(b) Total
(6) Net investment gain (loss) from common/collective trusts	2b(6)		102612
(7) Net investment gain (loss) from pooled separate accounts	2b(7)		0
(8) Net investment gain (loss) from master trust investment accounts	2b(8)		0
(9) Net investment gain (loss) from 103-12 investment entities	2b(9)		0
(10) Net investment gain (loss) from registered investment companies (e.g., mutual funds)	2b(10)		44495351
c Other income	2c		0
d Total income. Add all **income** amounts in column (b) and enter total	2d		97362131
Expenses			
e Benefit payment and payments to provide benefits:			
(1) Directly to participants or beneficiaries, including direct rollovers	2e(1)	50458372	
(2) To insurance carriers for the provision of benefits	2e(2)	0	
(3) Other	2e(3)	0	
(4) Total benefit payments. Add lines **2e(1)** through **(3)**	2e(4)		50458372
f Corrective distributions (see instructions)	2f		1455
g Certain deemed distributions of participant loans (see instructions)	2g		0
h Interest expense	2h		0
i Administrative expenses: **(1)** Professional fees	2i(1)	0	
(2) Contract administrator fees	2i(2)	0	
(3) Investment advisory and management fees	2i(3)	38489	
(4) Other	2i(4)	-150529	
(5) Total administrative expenses. Add lines **2i(1)** through **(4)**	2i(5)		-112040
j Total expenses. Add all **expense** amounts in column (b) and enter total	2j		50347787
Net Income and Reconciliation			
k Net income (loss). Subtract line **2j** from line **2d**	2k		47014344
l Transfers of assets:			
(1) To this plan	2l(1)		250025108
(2) From this plan	2l(2)		0

Part III Accountant's Opinion

3 Complete lines 3a through 3c if the opinion of an independent qualified public accountant is attached to this Form 5500. Complete line 3d if an opinion is not attached.

a The attached opinion of an independent qualified public accountant for this plan is (see instructions):

(1) [X] Unmodified **(2)** [ ] Qualified **(3)** [ ] Disclaimer **(4)** [ ] Adverse

b Check the appropriate box(es) to indicate whether the IQPA performed an ERISA section 103(a)(3)(C) audit. Check both boxes (1) and (2) if the audit was performed pursuant to both 29 CFR 2520.103-8 and 29 CFR 2520.103-12(d). Check box (3) if pursuant to neither.

(1) [X] DOL Regulation 2520.103-8 **(2)** [ ] DOL Regulation 2520.103-12(d) **(3)** [ ] neither DOL Regulation 2520.103-8 nor DOL Regulation 2520.103-12(d).

c Enter the name and EIN of the accountant (or accounting firm) below:

(1) Name: WILKIN & GUTTENPLAN, P.C. **(2)** EIN: 22-2612018

d The opinion of an independent qualified public accountant is **not attached** because:

(1) [ ] This form is filed for a CCT, PSA, or MTIA. **(2)** [ ] It will be attached to the next Form 5500 pursuant to 29 CFR 2520.104-50.

Part IV Compliance Questions

4 CCTs and PSAs do not complete Part IV. MTIAs, 103-12 IEs, and GIAs do not complete lines 4a, 4e, 4f, 4g, 4h, 4k, 4m, 4n, or 5. 103-12 IEs also do not complete lines 4j and 4l. MTIAs also do not complete line 4l.

During the plan year:

		Yes	No	Amount
a Was there a failure to transmit to the plan any participant contributions within the time period described in 29 CFR 2510.3-102? Continue to answer "Yes" for any prior year failures until fully corrected. (See instructions and DOL's Voluntary Fiduciary Correction Program.)	4a		X	

			Yes	No	Amount
b	Were any loans by the plan or fixed income obligations due the plan in default as of the close of the plan year or classified during the year as uncollectible? Disregard participant loans secured by participant's account balance. (Attach Schedule G (Form 5500) Part I if "Yes" is checked.)	**4b**		X	
c	Were any leases to which the plan was a party in default or classified during the year as uncollectible? (Attach Schedule G (Form 5500) Part II if "Yes" is checked.)	**4c**		X	
d	Were there any nonexempt transactions with any party-in-interest? (Do not include transactions reported on line 4a. Attach Schedule G (Form 5500) Part III if "Yes" is checked.)	**4d**		X	
e	Was this plan covered by a fidelity bond?	**4e**	X		500000
f	Did the plan have a loss, whether or not reimbursed by the plan's fidelity bond, that was caused by fraud or dishonesty?	**4f**		X	
g	Did the plan hold any assets whose current value was neither readily determinable on an established market nor set by an independent third party appraiser?	**4g**		X	
h	Did the plan receive any noncash contributions whose value was neither readily determinable on an established market nor set by an independent third party appraiser?	**4h**		X	
i	Did the plan have assets held for investment? (Attach schedule(s) of assets if "Yes" is checked, and see instructions for format requirements.)	**4i**	X		
j	Were any plan transactions or series of transactions in excess of 5% of the current value of plan assets? (Attach schedule of transactions if "Yes" is checked and see instructions for format requirements.)	**4j**		X	
k	Were all the plan assets either distributed to participants or beneficiaries, transferred to another plan, or brought under the control of the PBGC?	**4k**		X	
l	Has the plan failed to provide any benefit when due under the plan?	**4l**		X	
m	If this is an individual account plan, was there a blackout period? (See instructions and 29 CFR 2520.101-3.)	**4m**		X	
n	If 4m was answered "Yes," check the "Yes" box if you either provided the required notice or one of the exceptions to providing the notice applied under 29 CFR 2520.101-3	**4n**		X	

5a Has a resolution to terminate the plan been adopted during the plan year or any prior plan year? ☐ Yes ☒ No

If "Yes," enter the amount of any plan assets that reverted to the employer this year _____.

5b If, during this plan year, any assets or liabilities were transferred from this plan to another plan(s), identify the plan(s) to which assets or liabilities were transferred. (See instructions.)

5b(1) Name of plan(s)	**5b(2)** EIN(s)	**5b(3)** PN(s)

5c Was the plan a defined benefit plan covered under the PBGC insurance program at any time during this plan year? (See ERISA section 4021 and instructions.) ☐ Yes ☐ No ☐ Not determined

If "Yes" is checked, enter the My PAA confirmation number from the PBGC premium filing for this plan year _____.

SCHEDULE R (Form 5500)

Department of the Treasury
Internal Revenue Service

Department of Labor
Employee Benefits Security Administration

Pension Benefit Guaranty Corporation

Retirement Plan Information

This schedule is required to be filed under sections 104 and 4065 of the Employee Retirement Income Security Act of 1974 (ERISA) and section 6058(a) of the Internal Revenue Code (the Code).

▶ **File as an attachment to Form 5500.**

OMB No. 1210-0110

2021

This Form is Open to Public Inspection.

For calendar plan year 2021 or fiscal plan year beginning 01/01/2021 and ending 12/31/2021

A Name of plan
ION GROUP 401(K) PLAN

B Three-digit plan number (PN) ▶ 002

C Plan sponsor's name as shown on line 2a of Form 5500
ION TRADING, INC.

D Employer Identification Number (EIN)
36-3080374

Part I Distributions

All references to distributions relate only to payments of benefits during the plan year.

1 Total value of distributions paid in property other than in cash or the forms of property specified in the instructions ..... | **1** |

2 Enter the EIN(s) of payor(s) who paid benefits on behalf of the plan to participants or beneficiaries during the year (if more than two, enter EINs of the two payors who paid the greatest dollar amounts of benefits):

EIN(s): 04-6568107

Profit-sharing plans, ESOPs, and stock bonus plans, skip line 3.

3 Number of participants (living or deceased) whose benefits were distributed in a single sum, during the plan year ..... | **3** |

Part II Funding Information (If the plan is not subject to the minimum funding requirements of section 412 of the Internal Revenue Code or ERISA section 302, skip this Part.)

4 Is the plan administrator making an election under Code section 412(d)(2) or ERISA section 302(d)(2)? ..... ☐ **Yes** ☐ **No** ☐ **N/A**

If the plan is a defined benefit plan, go to line 8.

5 If a waiver of the minimum funding standard for a prior year is being amortized in this plan year, see instructions and enter the date of the ruling letter granting the waiver. **Date:** Month _____ Day _____ Year _____

If you completed line 5, complete lines 3, 9, and 10 of Schedule MB and do not complete the remainder of this schedule.

6 a Enter the minimum required contribution for this plan year (include any prior year accumulated funding deficiency not waived) ..... | **6a** |

b Enter the amount contributed by the employer to the plan for this plan year ..... | **6b** |

c Subtract the amount in line 6b from the amount in line 6a. Enter the result (enter a minus sign to the left of a negative amount) ..... | **6c** |

If you completed line 6c, skip lines 8 and 9.

7 Will the minimum funding amount reported on line 6c be met by the funding deadline? ..... ☐ **Yes** ☐ **No** ☐ **N/A**

8 If a change in actuarial cost method was made for this plan year pursuant to a revenue procedure or other authority providing automatic approval for the change or a class ruling letter, does the plan sponsor or plan administrator agree with the change? ..... ☐ **Yes** ☐ **No** ☐ **N/A**

Part III Amendments

9 If this is a defined benefit pension plan, were any amendments adopted during this plan year that increased or decreased the value of benefits? If yes, check the appropriate box. If no, check the "No" box. ..... ☐ **Increase** ☐ **Decrease** ☐ **Both** ☐ **No**

Part IV ESOPs (see instructions). If this is not a plan described under section 409(a) or 4975(e)(7) of the Internal Revenue Code, skip this Part.

10 Were unallocated employer securities or proceeds from the sale of unallocated securities used to repay any exempt loan? ..... ☐ **Yes** ☐ **No**

11 a Does the ESOP hold any preferred stock? ..... ☐ **Yes** ☐ **No**

b If the ESOP has an outstanding exempt loan with the employer as lender, is such loan part of a "back-to-back" loan? (See instructions for definition of "back-to-back" loan.) ..... ☐ **Yes** ☐ **No**

12 Does the ESOP hold any stock that is not readily tradable on an established securities market? ..... ☐ **Yes** ☐ **No**

Part V Additional Information for Multiemployer Defined Benefit Pension Plans

13 Enter the following information for each employer that contributed more than 5% of total contributions to the plan during the plan year (measured in dollars). See instructions. *Complete as many entries as needed to report all applicable employers.*

a Name of contributing employer

b EIN **c** Dollar amount contributed by employer

d Date collective bargaining agreement expires *(If employer contributes under more than one collective bargaining agreement, check box* ☐ *and see instructions regarding required attachment. Otherwise, enter the applicable date.)* Month _____ Day _____ Year _____

e Contribution rate information *(If more than one rate applies, check this box* ☐ *and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)*
(1) Contribution rate (in dollars and cents) _____
(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify):

---

a Name of contributing employer

b EIN **c** Dollar amount contributed by employer

d Date collective bargaining agreement expires *(If employer contributes under more than one collective bargaining agreement, check box* ☐ *and see instructions regarding required attachment. Otherwise, enter the applicable date.)* Month _____ Day _____ Year _____

e Contribution rate information *(If more than one rate applies, check this box* ☐ *and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)*
(1) Contribution rate (in dollars and cents) _____
(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

---

a Name of contributing employer

b EIN **c** Dollar amount contributed by employer

d Date collective bargaining agreement expires *(If employer contributes under more than one collective bargaining agreement, check box* ☐ *and see instructions regarding required attachment. Otherwise, enter the applicable date.)* Month _____ Day _____ Year _____

e Contribution rate information *(If more than one rate applies, check this box* ☐ *and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)*
(1) Contribution rate (in dollars and cents) _____
(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

---

a Name of contributing employer

b EIN **c** Dollar amount contributed by employer

d Date collective bargaining agreement expires *(If employer contributes under more than one collective bargaining agreement, check box* ☐ *and see instructions regarding required attachment. Otherwise, enter the applicable date.)* Month _____ Day _____ Year _____

e Contribution rate information *(If more than one rate applies, check this box* ☐ *and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)*
(1) Contribution rate (in dollars and cents) _____
(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

---

a Name of contributing employer

b EIN **c** Dollar amount contributed by employer

d Date collective bargaining agreement expires *(If employer contributes under more than one collective bargaining agreement, check box* ☐ *and see instructions regarding required attachment. Otherwise, enter the applicable date.)* Month _____ Day _____ Year _____

e Contribution rate information *(If more than one rate applies, check this box* ☐ *and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)*
(1) Contribution rate (in dollars and cents) _____
(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

---

a Name of contributing employer

b EIN **c** Dollar amount contributed by employer

d Date collective bargaining agreement expires *(If employer contributes under more than one collective bargaining agreement, check box* ☐ *and see instructions regarding required attachment. Otherwise, enter the applicable date.)* Month _____ Day _____ Year _____

e Contribution rate information *(If more than one rate applies, check this box* ☐ *and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)*
(1) Contribution rate (in dollars and cents) _____
(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

14 Enter the number of deferred vested and retired participants (inactive participants), as of the beginning of the plan year, whose contributing employer is no longer making contributions to the plan for:

a The current plan year. Check the box to indicate the counting method used to determine the number of inactive participants: ☐ last contributing employer ☐ alternative ☐ reasonable approximation (see instructions for required attachment)	**14a**	
b The plan year immediately preceding the current plan year. ☐ Check the box if the number reported is a change from what was previously reported (see instructions for required attachment)	**14b**	
c The second preceding plan year. ☐ Check the box if the number reported is a change from what was previously reported (see instructions for required attachment)	**14c**	

15 Enter the ratio of the number of participants under the plan on whose behalf no employer had an obligation to make an employer contribution during the current plan year to:

a The corresponding number for the plan year immediately preceding the current plan year	**15a**	
b The corresponding number for the second preceding plan year	**15b**	

16 Information with respect to any employers who withdrew from the plan during the preceding plan year:

a Enter the number of employers who withdrew during the preceding plan year	**16a**	
b If line 16a is greater than 0, enter the aggregate amount of withdrawal liability assessed or estimated to be assessed against such withdrawn employers	**16b**	

17 If assets and liabilities from another plan have been transferred to or merged with this plan during the plan year, check box and see instructions regarding supplemental information to be included as an attachment ☐

Part VI Additional Information for Single-Employer and Multiemployer Defined Benefit Pension Plans

18 If any liabilities to participants or their beneficiaries under the plan as of the end of the plan year consist (in whole or in part) of liabilities to such participants and beneficiaries under two or more pension plans as of immediately before such plan year, check box and see instructions regarding supplemental information to be included as an attachment ☐

19 If the total number of participants is 1,000 or more, complete lines (a) through (c)

a Enter the percentage of plan assets held as:
Stock: _____% Investment-Grade Debt: _____% High-Yield Debt: _____% Real Estate: _____% Other: _____%

b Provide the average duration of the combined investment-grade and high-yield debt:
☐ 0-3 years ☐ 3-6 years ☐ 6-9 years ☐ 9-12 years ☐ 12-15 years ☐ 15-18 years ☐ 18-21 years ☐ 21 years or more

c What duration measure was used to calculate line 19(b)?
☐ Effective duration ☐ Macaulay duration ☐ Modified duration ☐ Other (specify):

20 **PBGC missed contribution reporting requirements.** If this is a multiemployer plan or a single-employer plan that is not covered by PBGC, skip line 20.

a Is the amount of unpaid minimum required contributions for all years from Schedule SB (Form 5500) line 40 greater than zero? ☐ Yes ☐ No

b If line 20a is "Yes," has PBGC been notified as required by ERISA sections 4043(c)(5) and/or 303(k)(4)? Check the applicable box:

☐ Yes.

☐ No. Reporting was waived under 29 CFR 4043.25(c)(2) because contributions equal to or exceeding the unpaid minimum required contribution were made by the 30th day after the due date.

☐ No. The 30-day period referenced in 29 CFR 4043.25(c)(2) has not yet ended, and the sponsor intends to make a contribution equal to or exceeding the unpaid minimum required contribution by the 30th day after the due date.

☐ No. Other. Provide explanation _____

WilkinGuttenplan
CPAs & Advisors

October 13, 2022

To the Plan Administrator and Trustees of

Ion Group 401(k) Plan

We have audited the financial statements of Ion Group 401(k) Plan, (the "Plan"), an employee benefit plan subject to the Employee Retirement Income Security Act of 1974 (ERISA), as permitted by ERISA Section 103(a)(3)(C) ("ERISA Section 103(a)(3)(C) audit") for the year ended December 31, 2021 and we will issue our report thereon dated October 13, 2022. As permitted by ERISA Section 103(a)(3)(C), our audit did not extend to any statements or information related to assets held for investment of the Plan (investment information) by Fidelity Management Trust Company ("Fidelity") the trustee, which is a bank or similar institution or insurance carrier that is regulated, supervised, and subject to periodic examination by a state or federal agency, that prepared and certified the statements or information regarding assets so held in accordance with 29 CFR 2520.103-5. Our audit did not extend to the certified investment information, except for obtaining and reading the certification, comparing the certified investment information with the related information presented and disclosed in the financial statements and ERISA-required supplemental schedules, and reading the disclosures relating to the certified investment information to assess whether they are in accordance with the presentation and disclosure requirements of GAAP. Accordingly, the objective of an ERISA Section 103(a)(3)(C) audit is not to express an opinion about whether the financial statements as a whole are presented fairly, in all material respects, in accordance with GAAP. Professional standards require that we provide you with information about our responsibilities under generally accepted auditing standards, as well as certain information related to the planned scope and timing of our audit. We have communicated such information in our engagement letter dated February 23, 2022.

Professional standards require that we provide you with certain information related to our audit. Part I of this letter relays this required information. Part II details our comments and recommendations, all of which have been discussed with appropriate members of management, that are intended to improve the internal control or result in other operating efficiencies. We will be pleased to discuss this letter as well as the comments in further detail at your convenience, perform any additional study of these matters, or assist you in implementing the recommendations. We will review the status of these comments during our next audit engagement.

This letter does not affect our report on the above referenced financial statements of the Plan.

PART I COMMUNICATION OF INFORMATION AS REQUIRED BY PROFESSIONAL STANDARDS

A. Qualitative Aspects of Accounting Practices

Management is responsible for the selection and use of appropriate accounting policies. The significant accounting policies used by the Plan are described in Note 2 to the financial statements. No new accounting policies were adopted and the application of existing policies was not changed during the year ended December 31, 2021. We noted no transactions entered into by the plan during the year for which there is a lack of authoritative guidance or consensus. All significant transactions have been recognized in the financial statements in the proper period.

Accounting estimates are an integral part of the financial statements and are based on your knowledge and experience about past and current events and assumptions about future events. Certain accounting estimates are particularly sensitive because of their significance to the financial statements and because of the possibility that future events affecting them may differ significantly from those expected.

The most sensitive estimate**s** affecting the financial statements was **(were)**:

Your estimate of the fair value of financial instruments is based upon the following:

Mutual Funds: unadjusted quoted prices in active markets for identical assets.
Common/Collective Trust: net asset value based upon quoted market prices of the underlying assets.
Common stocks: closing price quoted in the active market on which the individual securities are traded.

We evaluated the key factors and assumptions used to develop the fair value of financial instruments in determining that it is reasonable in relation to the financial statements taken as a whole.

There were no sensitive disclosures affecting the financial statements in the current year.

The financial statement disclosures are neutral, consistent, and clear.

B. Form 5500 Procedures

We are required to obtain and read a substantially complete draft of Form 5500 prior to dating our auditor's report. The purpose of this procedure is to identify any material inconsistencies between the draft Form 5500 and the Plan's financial statements. We identified no material inconsistencies in performing and completing our audit.

C. Difficulties Encountered in Performing the Audit

We encountered no significant difficulties in performing and completing our audit.

D. Corrected and Uncorrected Misstatements

Professional standards require us to accumulate all misstatements identified during the audit, other than those that are clearly trivial, and communicate them to the appropriate level of management. Management has corrected all such misstatements and has represented to us in the signed representation letter that they have considered the effects of uncorrected misstatements and that their effects are immaterial, both individually and in the aggregate, to the financial statements taken as a whole. The uncorrected misstatements, if any, or the matters underlying them could potentially cause future period financial statements to be materially misstated, even though, in our judgment, such uncorrected misstatements are immaterial to the financial statements under audit.

E. Disagreements with Management

For purposes of this letter, a disagreement with management is a financial accounting, reporting, or auditing matter, whether or not resolved to our satisfaction, that could be significant to the financial statements or the auditor's report. We are pleased to report that no such disagreements arose during the course of our audit.

F. Other Matters

Our responsibility for the ERISA-required supplemental schedules accompanying the financial statements is to perform adequate procedures to evaluate whether the form and content of the ERISA-required supplemental schedules, other than that agreed to or derived from the certified investment information, is presented in compliance with the DOL's Rules and Regulations for Reporting and Disclosure under ERISA, and whether the information in the supplemental schedules related to assets held by and certified to by a qualified institution agrees to, or is derived from, in all material respects, the information prepared and certified by an institution that management determined meets the requirements of ERISA Section 103(a)(3)(C).

PART II COMMENTS AND RECOMMENDATIONS

A. Employer Contributions

During our audit we noted that certain individuals did not receive employer contributions. Although the plan documents state that the employer contributions are discretionary, the documents should clearly state if some employees are excluded. We recommend that management revise their plan documents and follow them.

B. Fidelity Information

During our audit we noted that certain individuals' divisions did not match the respective employee's Fidelity portal. We recommend that management review the census to ensure that all information is correct and accurate. The census data should be accurate and be updated in the Fidelity portal regularly to reflect the current census data.

This information is intended solely for the use of the Trustees and management of the Plan and is not intended to be and should not be used by anyone other than those specified parties.

We would like to thank all management and Plan officials for the cooperation and courtesy extended to us during our audit.

Very truly yours,



Wilkin & Guttenplan, P.C.
Certified Public Accountants

Ion Group 401(k) Plan
Financial Statements
December 31, 2021 and 2020

Ion Group 401(k) Plan
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December 31, 2021 and 2020

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WilkinGuttenplan
CPAs & Advisors

Independent Auditors' Report

To the Plan Administrator and Participants of the
Ion Group 401(k) Plan

Scope and Nature of the ERISA Section 103(a)(3)(C) Audit

We have performed an audit of the accompanying financial statements of Ion Group 401(k) Plan (the "Plan"), an employee benefit plan subject to the Employee Retirement Income Security Act of 1974 (ERISA), as permitted by ERISA Section 103(a)(3)(C) ("ERISA Section 103(a)(3)(C) audit"). The financial statements comprise the statement of net assets available for benefits as of December 31, 2021, and the related statement of changes in net assets available for benefits for the year then ended, and the related notes to the financial statements.

Management, having determined it is permissible in the circumstances, has elected to have the audit of the Plan's financial statements performed in accordance with ERISA Section 103(a)(3)(C) pursuant to 29 CFR 2520.103-8 of the Department of Labor's Rules and Regulations for Reporting and Disclosure under ERISA. As permitted by ERISA Section 103(a)(3)(C), our audit need not extend to any statements or information related to assets held for investment of the Plan ("investment information") by a bank or similar institution or insurance carrier that is regulated, supervised, and subject to periodic examination by a state or federal agency, provided that the statements or information regarding assets so held are prepared and certified to by the bank or similar institution or insurance carrier in accordance with 29 CFR 2520.103-5 of the Department of Labor's Rules and Regulations for Reporting and Disclosure under ERISA ("qualified institution").

Management has obtained a certification from a qualified institution as of and for the year ended December 31, 2021, stating that the certified investment information, as described in Notes 3 and 8 to the financial statements, is complete and accurate.

Opinion

In our opinion, based on our audit and on the procedures performed as described in the Auditor's Responsibilities for the Audit of the Financial Statements section –

1. the amounts and disclosures in the financial statements referred to above, other than those agreed to or derived from the certified investment information, are presented fairly, in all material respects, in accordance with accounting principles generally accepted in the United States of America.

2. the information in the financial statements referred to above related to assets held by and certified to by a qualified institution agrees to, or is derived from, in all material respects, the information prepared and certified by an institution that management determined meets the requirements of ERISA Section 103(a)(3)(C).

1200 Tices Lane
East Brunswick, NJ 08816
Tel: 732.846.3000

499 Seventh Avenue, 6th Floor, South
New York, NY 10018
Tel: 212.247.9000

wgcpas.com

Basis for Opinion

We conducted our audit in accordance with auditing standards generally accepted in the United States of America. Our responsibilities under those standards are further described in the Auditor's Responsibilities for the Audit of the Financial Statements section of our report. We are required to be independent of the Plan and to meet our other ethical responsibilities in accordance with the relevant ethical requirements relating to our audit. We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our ERISA Section 103(a)(3)(C) audit opinion.

Responsibilities of Management for the Financial Statements

Management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America, and for the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error. Management's election of the ERISA Section 103(a)(3)(C) audit does not affect management's responsibility for the financial statements.

In preparing the financial statements, management is required to evaluate whether there are conditions or events, considered in the aggregate, that raise substantial doubt about the Plan's ability to continue as a going concern for one year after the date the financial statements are available to be issued.

Management is also responsible for maintaining a current plan instrument, including all Plan amendments; administering the Plan; and determining that the Plan's transactions that are presented and disclosed in the financial statements are in conformity with the Plan's provisions, including maintaining sufficient records with respect to each of the participants, to determine the benefits due or which may become due to such participants.

Auditor's Responsibilities for the Audit of the Financial Statements

Except as described in the Scope and Nature of the ERISA Section 103(a)(3)(C) Audit section of our report, our objectives are to obtain reasonable assurance about whether the financial statements as a whole are free from material misstatement, whether due to fraud or error, and to issue an auditor's report that includes our opinion. Reasonable assurance is a high level of assurance but is not absolute assurance and therefore is not a guarantee that an audit conducted in accordance with generally accepted auditing standards will always detect a material misstatement when it exists. The risk of not detecting a material misstatement resulting from fraud is higher than for one resulting from error, as fraud may involve collusion, forgery, intentional omissions, misrepresentations, or the override of internal control. Misstatements are considered material if there is a substantial likelihood that, individually or in the aggregate, they would influence the judgment made by a reasonable user based on the financial statements.

In performing an audit in accordance with generally accepted auditing standards, we:

1. Exercise professional judgment and maintain professional skepticism throughout the audit.

2. Identify and assess the risks of material misstatement of the financial statements, whether due to fraud or error, and design and perform audit procedures responsive to those risks. Such procedures include examining, on a test basis, evidence regarding the amounts and disclosures in the financial statements.

3. Obtain an understanding of internal control relevant to the audit in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the Plan's internal control. Accordingly, no such opinion is expressed.

4. Evaluate the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluate the overall presentation of the financial statements.

5. Conclude whether, in our judgment, there are conditions or events, considered in the aggregate, that raise substantial doubt about the Plan's ability to continue as a going concern for a reasonable period of time.

Our audit did not extend to the certified investment information, except for obtaining and reading the certification, comparing the certified investment information with the related information presented and disclosed in the financial statements, and reading the disclosures relating to the certified investment information to assess whether they are in accordance with the presentation and disclosure requirements of accounting principles generally accepted in the United States of America.

Accordingly, the objective of an ERISA Section 103(a)(3)(C) audit is not to express an opinion about whether the financial statements as a whole are presented fairly, in all material respects, in accordance with accounting principles generally accepted in the United States of America.

We are required to communicate with those charged with governance regarding, among other matters, the planned scope and timing of the audit, significant audit findings, and certain internal control-related matters that we identified during the audit.

Supplemental Schedules Required by ERISA

The supplemental schedule of Schedule of Assets Held is presented for purposes of additional analysis and is not a required part of the financial statements but is supplementary information required by the Department of Labor's Rules and Regulations for Reporting and Disclosure under ERISA. Such information is the responsibility of management and was derived from and relates directly to the underlying accounting and other records used to prepare the financial statements. The information included in the supplemental schedule, other than that agreed to or derived from the certified investment information, has been subjected to auditing procedures applied in the audit of the financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the financial statements or to the financial statements themselves, and other additional procedures in accordance with generally accepted auditing standards. For information included in the supplemental schedule that agreed to or is derived from the certified investment information, we compared such information to the related certified investment information.

In forming our opinion on the supplemental schedule, we evaluated whether the supplemental schedule, other than the information agreed to or derived from the certified investment information, including their form and content, is presented in conformity with the Department of Labor's Rules and Regulations for Reporting and Disclosure under ERISA.

In our opinion —

1. the form and content of the supplemental schedule, other than the information in the supplemental schedule that agreed to or is derived from the certified investment information, is presented, in all material respects, in conformity with the Department of Labor's Rules and Regulations for Reporting and Disclosure under ERISA.

2. the information in the supplemental schedule related to assets held by and certified to by a qualified institution agrees to or is derived from, in all material respects, the information prepared and certified by an institution that management determined meets the requirements of ERISA Section 103(a)(3)(C).



East Brunswick, New Jersey

October 13, 2022

WilkinGuttenplan
CPAs & Advisors

Independent Auditors' Report

To the Plan Administrator and Participants of the

Ion Group 401(k) Plan

Report on the Financial Statement

We were engaged to audit the accompanying financial statement of Ion Group 401(k) Plan (the "Plan"), which comprise the statement of net assets available for benefits as of December 31, 2020, and the related notes to the financial statements.

Management's Responsibility for the Financial Statement

Plan management is responsible for the preparation and fair presentation of the financial statement in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statement that is free from material misstatement, whether due to fraud or error.

Auditors' Responsibility

Our responsibility is to express an opinion on this financial statement based on our audits in accordance with auditing standards generally accepted in the United States of America. Because of the matter described in the Basis for Disclaimer of Opinion paragraph, we have not been able to obtain sufficient, appropriate audit evidence to provide a basis for an audit opinion.

Basis for Disclaimer of Opinion

As permitted by 29 CFR 2520.103-8 of the Department of Labor's Rules and Regulations for Reporting and Disclosure under the Employee Retirement Income Security Act of 1974, the Plan administrator instructed us not to perform, and we did not perform, any auditing procedures with respect to the information summarized in Notes 3 and 8, which was certified by Fidelity Management Trust Company ("Fidelity"), the custodian of the Plan, except for comparing the information with the related information included in the financial statement. We have been informed by the Plan administrator that Fidelity holds the Plan's investment assets and executes investment transactions. The Plan administrator has obtained a certification from the custodian as of December 31, 2020, that the information provided to the Plan administrator by the custodian is complete and accurate.

1200 Tices Lane
East Brunswick, NJ 08816
Tel: 732.846.3000

499 Seventh Avenue, 6th Floor, South
New York, NY 10018
Tel: 212.247.9000

wgcpas.com

Disclaimer of Opinion

Because of the significance of the matter described in the Basis for Disclaimer of Opinion paragraph, we have not been able to obtain sufficient, appropriate audit evidence to provide a basis for an audit opinion. Accordingly, we do not express an opinion on this financial statement.

Report on Form and Content in Compliance with DOL Rules and Regulations

The form and content of the information included in the financial statement, other than that derived from the information certified by Fidelity, has been audited by us in accordance with auditing standards generally accepted in the United States of America and, in our opinion, are presented in compliance with the Department of Labor's Rules and Regulations for Reporting and Disclosure under the Employee Retirement Income Security Act of 1974.



East Brunswick, New Jersey

October 13, 2022

Ion Group 401(k) Plan
Statements of Net Assets Available for Benefits
December 31, 2021 and 2020

	2021	2020
Assets		
Investments at Fair Value		
Mutual funds	$ 490,488,368	$ 211,380,826
Government and corporate bonds	20,627	70,333
Cash and cash equivalents	3,604,143	1,075,736
Common stock	3,990,902	1,094,927
Preferred stock	20,120	-
Common/Collective Trust	28,384,916	19,536,561
Total Investments	526,509,076	233,158,383
Non-Interest Bearing Cash	9,232	10,291
Participants' Notes Receivable	2,772,514	1,197,586
Total Assets	529,290,822	234,366,260
Liabilities		
Funds Received in Advance of Plan Mergers (Notes 1 and 10)	-	2,114,890
Net Assets Available for Benefits	$ 529,290,822	$ 232,251,370

The accompanying notes are an integral part of these financial statements.

Ion Group 401(k) Plan
Statement of Changes in Net Assets Available for Benefits
For the Year Ended December 31, 2021

Additions	
Additions to net assets attributed to	
Investment Income	
Net appreciation in fair value of investments	$ 45,020,209
Interest and dividends	29,302,043
Total Investment Income	74,322,252
Contributions	
Participant	16,168,206
Employer	5,031,474
Rollover	1,687,636
Total Contributions	22,887,316
Excess Revenue Credits	150,529
Interest Income on Participant Notes Receivable	152,563
Total Additions to Net Assets	97,512,660
Deductions	
Deductions from Net Assets Attributed to	
Benefits paid to participants	50,459,827
Administrative expenses	38,489
Total Deductions to Net Assets	50,498,316
Net Increase in Net Assets Available for Benefits	47,014,344
Transfer of Assets to Ion Group 401(k) Plan	250,025,108
Net Assets Available for Benefits - Beginning of Year	232,251,370
Net Assets Available for Benefits - End of Year	$ 529,290,822

The accompanying notes are an integral part of these financial statements.

Note 1 Description of Plan

The following description of Ion Group 401(k) Plan (the "Plan") is provided for general information purposes only. Participants should refer to the Plan agreement for a more complete description of the Plan's provisions. Effective April 1, 2017, the Plan changed its name from Ion Trading Inc. 401(k) Plan (Plan 002) to Ion Group 401(k) Plan.

General

The Plan is a participant-directed defined contribution plan established on June 1, 2000, by Ion Trading, Inc. (collectively, the "Company" or "Plan Sponsor") under the provision of Section 401(a) of the Internal Revenue Code ("IRC"), which includes a qualified cash or deferred arrangement as described in section 401(k) of the IRC, for the benefit of eligible employees of the Company. Effective April 1, 2017, a new volume submitter plan document was adopted and became effective, which covers all eligible employees (as defined by the Plan) of the Company and all merged plans. All employees over the age of 18 are eligible to participate in the Plan. The Plan was amended effective January 1, 2020. See Note 10. The Plan is subject to the provisions of the Employee Retirement Security Act of 1974, as amended (ERISA).

Effective January 2020, plans, Dealogic LLC 401(k) Tax Deferred Savings Plan and Fidessa 401(k) Plan, with related employers, merged into the Plan. The Dealogic LLC 401(k) Tax Deferred Savings Plan and Fidessa 401(k) Plan were participant-directed, defined contribution 401(k) plans. During the year ended December 31, 2020, assets totaling $113,425,724 of the plans were transferred into the Plan.

Effective January 1, 2021, plans, Marketfactory, Inc. 401(k) Plan, Openlink 401(k) Plan, Allegro Development 401(k) Plan, Broadway Technology, LLC 401(k) Plan and MergerMarket Group 401(k) Retirement Plan, with related employers, merged into the Plan. The Marketfactory, Inc. 401(k) Plan, Openlink 401(k) Plan, Allegro Development 401(k) Plan,Broadway Technology, LLC 401(k) Plan and MergerMarket Group 401(k) Retirement Plan were participant-directed, defined contribution 401(k) plans. During the year ended December 31, 2021, assets totaling $250,025,108 of the plans were transferred into the Plan. During the year ended December 31, 2020, assets totaling $2,114,890 of the Openlink 401(k) Plan was transferred into the Plan before the effective date of the merger and was shown as a liability on the accompanying financial statements. See Note 9.

Plan Contributions

Eligible employees can contribute up to 90% of their eligible compensation as defined by the Plan, subject to certain limitations under the IRC. Eligible employees are permitted to make both pre-tax and after-tax (ROTH) contributions provided the total of such elective contributions does not exceed the limits stated in the Plan. Participants who have obtained age 50 before the end of the Plan year are eligible to make catch up contributions. Participants may also contribute amounts representing distributions from other qualified plans. Participants direct the investment of their contributions as well as Company contributions, if any, into various investment options offered by the Plan.

Note 1 Description of Plan (Continued)

Plan Contributions (Continued)

For the year ended December 31, 2021, the Plan allows for a non-discretionary matching employer contribution for each group of eligible participants at a flat percentage of 3% of eligible compensation. For the year ended December 31, 2021 the matching employer contribution was $5,031,474.

Participants' Accounts

Each participant's account is credited with the participant's contribution and allocations of (a) the Company's contribution and (b) Plan earnings. The participant's account is also charged with an allocation of administrative expenses. Allocations are based on participant earnings or account balances, as defined. The benefit to which a participant is entitled is the benefit that can be provided from the participant's vested account.

Vesting

Participants are fully vested in their contributions and rollover amounts plus earnings thereon. Vesting in employer non-elective contributions, if any, and the earnings thereon are based on years of continuous service. A participant vests according to a graduated vesting schedule for each entity. For former participants in the Wall Street Systems Delaware Inc. 401(k) Plan a participant is fully vested after the completion of 2 years of service. For former participants in the Express Corporation as of December 31, 2009, Ion Trading, Inc. 401(k) Plan (001) and Reval.com, Inc. 401(k) Plan, a participant is fully vested upon date of hire. For all other employees, participants are fully vested after the completion of 6 years of service.

Participants' Notes Receivable

A participant may borrow from his or her account a minimum of $1,000 up to a maximum equal to the lesser of $50,000 or 50 percent of the vested account balance. The maximum loan term is five years unless the loan is taken to purchase a principal residence. Notes are secured by the balance in the participant's account and bear interest at a rate of prime plus one percent, determined as of the date of the loan origination. The notes bear interest with rates ranging from 5.00%-8.00%. Notes are repaid through payroll deductions.

Payment of Benefits

On termination of service due to death, disability, or retirement, a participant may elect to receive either a lump-sum amount equal to the value of the participant's vested interest in his or her account, or annual installments. For termination of service for other reasons, a participant may receive the value of the vested interest in his or her account as a lump-sum distribution.

Hardship Benefits

The Plan allows for "hardship withdrawals" of employee benefits from participant's pre-tax elective deferral and ROTH elective deferral accounts based the provisions of the Plan document.

Note 1 Description of Plan (Continued)

Forfeitures

At December 31, 2021 and 2020, forfeited non-vested accounts totaled approximately $745,000 and $310,000, respectively. Forfeitures may be used to pay Plan expenses. Forfeitures used to pay Plan expenses during 2021 totaled approximately $276,000.

Note 2 Summary of Significant Accounting Policies

Basis of Presentation

The accompanying financial statements of the Plan have been prepared on the accrual basis of accounting.

Use of Estimates

The preparation of financial statements in conformity with accounting principles generally accepted in the United States of America requires management of the Plan to make estimates and assumptions that affect the reported amounts of assets, liabilities and changes therein and disclosure of contingent assets and liabilities at the date of the financial statements. Actual results could differ from those estimates.

Cash and Cash Equivalents

Cash is held in bank deposit accounts which, at times, may exceed federally insured limits.

Investment Valuation and Income Recognition

Purchases and sales of securities are recorded on a trade-date basis. Interest income is recorded on an accrual basis. Dividends are recorded on the ex-dividend date. Net appreciation includes the Plan's gains and losses on investments bought and sold as well as held during the year.

Investments are reported at fair value. Fair value is the price that would be received to sell an asset or paid to transfer a liability in an orderly transaction between market participants at the measurement date. The Plan's trustees determine the Plan's valuation policies utilizing information provided by the investment advisers and custodians (See Note 3).

Notes Receivable from Participants

Notes receivable from participants are measured at their unpaid principal balance plus any accrued but unpaid interest. Interest income is recorded on the accrual basis. Related fees are recorded as administrative expenses and are expensed when they are incurred. No allowance for credit losses has been recorded as of December 31, 2021 and 2020. If a participant ceases to make loan repayments and the Plan administrator deems the participant loan to be in default, the participant loan balance is reduced, and a benefit payment is recorded.

Note 2 Summary of Significant Accounting Policies (Continued)

Revenue Credit Accounts

The Plan is party to a revenue sharing agreement which provides for a revenue account for the Plan to pay for certain administrative expenses from Plan assets. The account is funded by revenue generated by certain Plan investment funds. The agreement provides that excess amounts in the Plan revenue account at the end of each Plan year may be applied towards allowable administrative expenses or allocated at the direction of the Plan's administrator. At December 31, 2021, the Plan had $60,387 in a revenue credit account. At December 31, 2020, the Plan had $44,946 in a revenue credit account.

Payment of Benefits

Benefit payments to participants are recorded when paid.

Expenses

Expenses related to the administration of the Plan are primarily paid by the Company. Investment related expenses, other than those paid directly by the Plan, are integrated with investment performance.

Subsequent Events

Management has evaluated subsequent events and transactions for potential recognition or disclosure through the date of the auditors' report, which is the date the financial statements were available to be issued. See Note 9.

Note 3 Fair Value Measurements

Generally accepted accounting principles ("GAAP") establish a framework for measuring fair value. That framework provides a fair value hierarchy that prioritizes the inputs to valuation techniques used to measure fair value. The hierarchy gives the highest priority to unadjusted quoted prices in active markets for identical assets or liabilities (level 1 measurements) and the lowest priority to unobservable inputs (level 3 measurements). The Plan did not hold any level 3 investments at December 31, 2021 or December 31, 2020.

Level 1 and 2 investments in the fair value hierarchy under GAAP are described below:

Level 1

Inputs to the valuation methodology are unadjusted quoted prices for identical assets or liabilities in active markets that the Plan has the ability to access.

Level 2

Inputs to the valuation methodology include:

Quoted prices for similar assets or liabilities in active markets;
Quoted prices for identical or similar assets or liabilities in inactive markets;
Inputs other than quoted prices that are observable for the assets or liability;
Inputs that are derived principally from or corroborated by observable market data by correlation or other means.

Note 3 Fair Value Measurements (Continued)

The asset's or liability's fair value measurement level within the fair value hierarchy is based on the lowest level of any input that is significant to the fair value measurement. Valuation techniques used need to maximize the use of observable inputs and minimize the use of unobservable inputs.

The following is a description of the valuation methodologies used for assets measured at fair value. There have been no changes in the methodologies used at December 31, 2021 and 2020.

Mutual Funds
Valued at the daily closing price as reported by the fund. Mutual funds held by the Plan are mutual funds that are registered with the Securities and Exchange Commission. These funds are required to publish their daily net asset value (NAV) and to transact at that price. The mutual funds held by the Plan are deemed to be actively traded.

Common/Collective Trust
Valued at the Net Asset Value ("NAV") of units of a bank collective trust. The NAV, as provided by Fidelity, is used as a practical expedient to estimate fair value. The NAV is based on the fair value of the underlying investments held by the fund less its liabilities. This practical expedient is not used when it is determined to be probable that the fund will sell the investment for an amount different than the reported NAV. Participant transactions (purchases and sales) may occur daily.

Were the Plan to initiate a full redemption of the common/collective trust, the investment adviser reserves the right to temporarily delay withdrawal from the trust in order to ensure that securities liquidations will be carried out in an orderly business manner.

Common Stock, Preferred Stock, Corporate Bonds and U.S. Government Securities
Valued at the closing price reported on the active market on which the individual securities are traded.

Cash and Cash Equivalents
Cash and cash equivalents have readily determinable fair values and are reported at fair value. All highly liquid instruments with a maturity date of 90 days or less when purchased are considered to be cash equivalents.

Note 3 Fair Value Measurements (Continued)

The following table sets forth by level, within the fair value hierarchy, the Plan's financial assets at fair value as of December 31, 2021 and 2020:

Investments at fair value:

	December 31, 2021		
	Level 1	Level 2	Total
Cash and cash equivalents	$ 3,613,375	$ -	$ 3,613,375
Mutual funds	490,488,368	-	490,488,368
Common stock	3,990,902	-	3,990,902
Preferred stock	20,120	-	20,120
Government and corporate bonds	-	20,627	20,627
Total	$ 498,112,765	$ 20,627	$ 498,133,392

	December 31, 2020		
	Level 1	Level 2	Total
Cash and cash equivalents	$ 1,086,027	$ -	$ 1,086,027
Mutual funds	211,380,826	-	211,380,826
Common stock	1,094,927	-	1,094,927
Government and corporate bonds	-	70,333	70,333
Total	$ 213,561,580	$ 70,333	$ 213,632,113

Net Asset Values
The following sets forth additional disclosures for the fair value measurement of investments in certain entities that calculate net asset value per share (or its equivalent) as of December 31, 2021 and 2020:

Investment Type	Fair Value 12/31/2021	Fair Value 12/31/2020	Unfunded Commitment 12/31/2021	Unfunded Commitment 12/31/2020	Redemption Frequency	Redemption Notice Period
Common/ Collective Trust	$28,384,916	$19,536,561	$ -	$ -	Daily	Daily

The common/collective trust's objectives are to protect principal while providing a higher rate of return than shorter maturity investments, such as money market funds or certificates of deposit. To achieve this, the trust invests in instruments which are not expected to experience significant price fluctuations in most economic or interest rate environments. However, there is no assurance that this objective can be achieved.

Note 3 Fair Value Measurements (Continued)

The common/collective trust seeks to preserve principal and provide book value liquidity on a daily basis for plan permitted, participant-directed withdrawals while maintaining a competitive interest rate.

The above information, included in the accompanying financial statements and supplemental schedule, was obtained from data that has been prepared by and certified to as complete and accurate by Fidelity. See also Note 8.

Note 4 Related Party and Party-In-Interest Transactions

Certain Plan investments are mutual funds, cash and cash equivalents, and a common collective trust, managed by Fidelity Investments Institutional Operations Company, Inc., a subsidiary of Fidelity. Fidelity held the assets of the Plan at December 31, 2021, which were, units in mutual funds, cash and cash equivalents, common stock and a common collective trust. These transactions qualify as party-in-interest transactions.

Certain expenses of the Plan are paid directly by the Plan Sponsor and are therefore not included in the accompanying financial statements.

Note 5 Plan Termination

Although it has not expressed any intent to do so, the Company has the right under the Plan to discontinue its contributions at any time and to terminate the Plan subject to the provisions of ERISA. In the event of Plan termination or partial termination, participants will become fully vested, and net assets will be distributed to participants and beneficiaries in proportion to their respective account balances.

Note 6 Tax Status

The IRS has determined and informed the Company by a letter dated June 30, 2020, that the Plan and related trust are designed in accordance with applicable sections of the Internal Revenue Code (IRC). Although the Plan has been amended since receiving the determination letter, the Plan administrator believes that the Plan is designed, and is currently being operated, in compliance with the applicable requirements of the IRC and, therefore, believe that the Plan is qualified, and the related trust is tax-exempt.

Accounting principles generally accepted in the United States of America require Plan management to evaluate tax positions taken by the Plan and recognize a tax liability if the organization has taken an uncertain position that more likely than not would not be sustained upon examination by the taxing authorities. The Plan is subject to routine audits by taxing jurisdictions; however, there are currently no audits for any tax periods in progress. The Plan administrator believes the Plan will be open for examination for three years.

Note 7 Risk and Uncertainties

The Plan invests in various investment securities. Investment securities are exposed to various risks such as interest rate, market and credit risks. Due to the level of risk associated with certain investment securities, it is at least reasonably possible that changes in the values of investment securities will occur in the near term, and that such changes could materially affect participants' account balances and the amounts reported in the Statements of Net Assets Available for Plan Benefits and participant account balances.

The Plan's exposure to a concentration of credit risk is limited by the diversification of investments across a variety of participant-directed fund elections. Additionally, the investments within each participant-directed fund election are further diversified into varied financial instruments.

At December 31, 2021, one investment option accounted for more than 10% of the Plan's total net assets:

Fidelity 500 Index Fund	$98,318,947	19%

Note 8 Certified Investments

The information related to investments and notes receivable from participants disclosed in the accompanying financial statements and supplemental schedule, including investments and notes receivable from participants held at December 31, 2021 and 2020, and net appreciation in fair value of investments, interest and dividends for the year ended December 31, 2021, was obtained or derived from information supplied to the plan administrator and certified as complete and accurate by Fidelity Management Trust Company (the trustee of the Plan).

Note 9 Subsequent Event - Plan Merger

Effective May 1, 2021, plan Dash Financial Technologies, LLC 401(k) Plan ("Dash"), with related employers, merged into the Plan. Dash was a participant-directed, defined contribution 401(k) plan. Subsequent to the year ended December 31, 2021, assets totaling $8,786,639 was transferred into the Plan.

SUPPLEMENTARY INFORMATION

Ion Group 401(k) Plan
Supplementary Information
Schedule H, Line 4i - Schedule of Assets Held at December 31, 2021

EIN: 36-3080374
Plan #: 002

(a)	(b) Identity of Issuer/Borrower/Lessor Or Similar Party	(c) Description of Investment Including Maturity Date Rate of Interest, Collateral, Par or Maturity Value	(d) Cost	(e) Current Value
*	Fidelity Managed Income Portfolio	Common/Collective Trust	**	$ 27,592,956
	VOYA Stable Value	Common/Collective Trust	**	-
	Wells Fargo Stable Value	Common/Collective Trust	**	791,960
				28,384,916
*	Fidelity 500 Index Fund	Registered Investment Company	**	98,318,947
	Vanguard US Growth Admiral	Registered Investment Company	**	52,002,581
*	Fidelity Global ex US Index Fund	Registered Investment Company	**	30,130,427
	T Rowe Price Retirement 2040	Registered Investment Company	**	28,140,408
*	Fidelity Total Bond Fund	Registered Investment Company	**	22,865,946
	JPM Equity Income R6	Registered Investment Company	**	20,074,223
	T Rowe Price Retirement 2035	Registered Investment Company	**	19,366,834
	T Rowe Price Retirement 2030	Registered Investment Company	**	19,305,397
	Vanguard Wellington Admiral	Registered Investment Company	**	18,875,750
*	Fidelity Small Cap Index Fund	Registered Investment Company	**	17,021,022
	T Rowe Price Retirement 2050	Registered Investment Company	**	16,440,630
	T Rowe Price Retirement 2045	Registered Investment Company	**	16,348,901
	JPMorgan Mid Cap Growth R6	Registered Investment Company	**	16,140,573
*	Fidelity Extended Market Index Fund	Registered Investment Company	**	13,256,468
	Vanguard Explorer Admiral	Registered Investment Company	**	13,213,715
	T Rowe Price Retirement 2025	Registered Investment Company	**	11,928,351
*	Fidelity Mid Cap Index	Registered Investment Company	**	9,654,555
	American Funds New Perspective Fund Class R6	Registered Investment Company	**	8,805,574
	T Rowe Price Retirement 2055	Registered Investment Company	**	7,454,363
	JPMorgan Small Cap Value - R6	Registered Investment Company	**	6,519,869
	T Rowe Price Retirement 2020	Registered Investment Company	**	6,097,465
	MFS Mid Cap Value Fund Class R3	Registered Investment Company	**	5,676,720
	American Funds New World R6	Registered Investment Company	**	5,048,837
*	Fidelity Inflation-Protected Index Fund	Registered Investment Company	**	4,182,248
	T Rowe Price Retirement Balance	Registered Investment Company	**	4,126,244
	T Rowe Price Retirement 2060	Registered Investment Company	**	4,038,306
	Blackrock High Yield Bd K	Registered Investment Company	**	3,682,212
*	Fidelity Real Estate Index Fund	Registered Investment Company	**	2,587,880
	Pimco Income Inst	Registered Investment Company	**	1,928,292

Ion Group 401(k) Plan
Supplementary Information
Schedule H, Line 4i - Schedule of Assets Held at December 31, 2021

EIN: 36-3080374
Plan #: 002

(a)	(b) Identity of Issuer/Borrower/Lessor Or Similar Party	(c) Description of Investment Including Maturity Date Rate of Interest, Collateral, Par or Maturity Value	(d) Cost	(e) Current Value
	T Rowe Price Retirement 2015	Registered Investment Company	**	1,794,194
	Vanguard Total International Bond Index Fund Admiral	Registered Investment Company	**	462,036
	T Rowe Price Retirement 2065	Registered Investment Company	**	143,576
				485,632,544
	Brokerage Link Accounts - Exhibit I	Various	**	12,491,616
		Total Investments		$ 526,509,076
*	Participant Notes Receivable	Participant Notes Receivable with interest rates ranging from 5.00% - 8.00%		$ 2,772,514

(a) * Party-In-Interest as defined by ERISA.
(d) ** Cost is omitted for Participant-directed investments.

See Independent Auditors' Report.

EXHIBIT I

SUMMARY OF NET TRUST ASSETS

TOTAL PLAN ASSETS AS OF 12/31/2021

CUSIP #	SECURITY DESCRIPTION	SHARE BALANCE	PRICE	TOTAL MARKET VALUE	HISTORICAL COST
	CASH				
316067107	* FIDELITY CASH RESERVES	3,604,142.700	$1.00	$3,604,142.70	$3,604,142.70
	COMMON STOCK				
38210L109	GOOD NATURED PRODUCTS INC COM NPV	375.000	$0.58	$216.71	$468.12
38267D109	GOOSEHEAD INS INC COM CL A	30.351	$130.08	$3,948.06	$4,197.71
389638107	GRAYSCALE ETHEREUM TR ETH SHS	1,587.000	$32.36	$51,355.32	$50,563.15
39304D102	GREEN DOT CORP COM CL A USD0.001	95.000	$36.24	$3,442.80	$5,317.63
398433102	GRIFFON CORP	13.000	$28.48	$370.24	$330.41
398905109	GROUP I AUTOMOTIVE INC	7.027	$195.22	$1,371.81	$1,161.70
40171V100	GUIDEWIRE SOFTWARE INC COM USD0.0001	50.000	$113.53	$5,676.50	$5,980.20
40434L105	HP INC COM	438.000	$37.67	$16,499.46	$9,253.35
410495204	HANMI FINL CORP COM NEW	61.505	$23.68	$1,456.44	$1,196.98
422704106	HECLA MINING CO	400.000	$5.22	$2,088.00	$3,148.00
427866108	HERSHEY FOODS CORP	1.000	$193.47	$193.47	$189.77
42809H107	HESS CORP COM	26.159	$74.03	$1,936.55	$2,157.80
433000106	HIMS &HERS HEALTH INC COM CL A	200.000	$6.55	$1,310.00	$0.00
436106108	HOLLYFRONTIER CORP COM USD0.01	10.000	$32.78	$327.80	$335.30
437076102	HOME DEPOT INC NFS IS A SPECIALIST	85.494	$415.01	$35,480.86	$24,759.17
443573100	HUBSPOT INC COM USD0.001	13.000	$659.15	$8,568.95	$5,290.51
48666K109	KB HOME COM	60.623	$44.73	$2,711.67	$2,924.36
444859102	HUMANA INC NFS LLC IS A SPECIAL	20.000	$463.86	$9,277.20	$5,417.15
446150104	HUNTINGTON BANCSHARES INC COM	10.000	$15.42	$154.20	$156.50
456837103	ING GROEP NV ADR	204.103	$13.92	$2,841.11	$2,765.45
45841N107	INTERACTIVE BROKERS GROUP INC COM	4.000	$79.42	$317.68	$300.66
45867G101	INTERDIGITAL INC PA	40.423	$71.63	$2,895.50	$3,160.08
46115H107	INTESA SANPAOLO S P A SPONSORED ADR	86.000	$15.52	$1,334.38	$1,490.51
46120E602	INTUITIVE SURGICAL INC COM NEW	6.000	$359.30	$2,155.80	$1,665.88
461202103	INTUIT INC NFS LLC IS A MARKET	5.000	$643.22	$3,216.10	$3,136.59
46185L103	INVITAE CORP COM ISIN #US46185L1035	160.000	$15.27	$2,443.20	$7,455.50
46222L108	IONQ INC COM	100.000	$16.70	$1,670.00	$1,526.50
46625H100	J P MORGAN CHASE & CO	139.878	$158.35	$22,149.68	$17,765.67
471082107	JAPAN GOLD CORP COM NPV	1,000.000	$0.23	$225.60	$300.00
48138M105	JUMIA TECHNOLOGIES AG SPON ADS EACH REP	600.000	$11.40	$6,840.00	$24,830.23
48213Y107	JUSHI HOLDINGS INC CLASS B SUBORDINATE	1,450.000	$3.25	$4,706.41	$10,521.90
483709101	KANDI TECHNOLOGIES CORP	145.000	$3.21	$465.45	$1,076.66
492089107	KERING UNSPON ADR EA REPR 10 ORD EUR0.00	76.000	$80.39	$6,109.56	$6,635.18
49714P108	KINSALE CAP GROUP INC COM	27.066	$237.89	$6,438.73	$5,070.48
50202P105	LI-CYCLE HOLDINGS CORP COM NPV	10.000	$9.96	$99.60	$104.29
50540R409	LABORATORY CORP AMER HLDGS COM NEW	25.000	$314.21	$7,855.25	$6,827.63
50736T102	LAIRD SUPERFOOD INC COM STK	100.000	$13.04	$1,304.00	$4,450.00
512807108	LAM RESEARCH CORP NFS LLC IS A MARKET	18.057	$719.15	$12,985.69	$11,055.88
517834107	LAS VEGAS SANDS CORP	80.000	$37.64	$3,011.20	$4,660.00
52567D107	LEMONADE INC COM	50.000	$42.11	$2,105.50	$7,288.24
53228T101	LIGHTNING EMOTORS INC COM	100.000	$6.01	$601.00	$700.00
532457108	LILLY ELI & CO NFS IS A SPECIALIST	33.226	$276.22	$9,177.69	$6,734.45
537008104	LITTLEFUSE INC	1.000	$314.68	$314.68	$277.47
53803X105	LIVE OAK BANCSHARES INC COM	120.222	$87.29	$10,494.18	$5,096.41
539830109	LOCKHEED MARTIN CORP NFS LLC IS A SPECIAL	15.549	$355.41	$5,526.27	$5,508.52
54405Q100	LORDSTOWN MOTORS CORP COM CL A	180.000	$3.45	$621.00	$1,163.06
549498103	LUCID GROUP INC COM	475.000	$38.05	$18,073.75	$14,797.01
55024U109	LUMENTUM HLDGS INC COM	55.000	$105.77	$5,817.35	$4,975.49
550241103	LUMEN TECHNOLOGIES INC COM	27.000	$12.55	$338.85	$352.20
55087P104	LYFT INC CL A COM	100.000	$42.73	$4,273.00	$3,900.00
55977T208	MAGYAR BANCORP INC COM	17.000	$12.28	$208.68	$205.87
56564U103	MAPTELLIGENT INC COM	335.000	$0.01	$2.68	$860.73
57636Q104	MASTERCARD INC CL A	33.105	$359.32	$11,895.29	$11,581.08
577096100	MATTERPORT INC COM CL A	1,400.000	$20.64	$28,896.00	$30,506.00
57778K105	MAXAR TECHNOLOGIES LTD COM	70.084	$29.53	$2,069.58	$2,880.21
578605107	MAYVILLE ENGINEERING CO INC COM	175.000	$14.91	$2,609.25	$2,554.14
58463A105	MEDICAL MARIJUANA INC COM	13,750.000	$0.02	$253.00	$1,437.73

SUMMARY OF NET TRUST ASSETS

TOTAL PLAN ASSETS AS OF 12/31/2021

CUSIP #	SECURITY DESCRIPTION	SHARE BALANCE	PRICE	TOTAL MARKET VALUE	HISTORICAL COST
58733R102	MERCADOLIBRE INC	6.000	$1,348.40	$8,090.40	$11,597.83
58933Y105	MERCK & CO INC NEW COM	29.471	$76.64	$2,258.66	$2,344.16
590717104	MESOBLAST LTD ADR EACH REPR 5 SHS	220.000	$4.80	$1,056.00	$1,630.80
59126M106	METALLIC MINERALS CORP COM NPV	300.000	$0.36	$108.06	$147.40
594918104	MICROSOFT CORP NFS LLC IS A MARKET	221.347	$336.32	$74,443.42	$52,780.82
594960304	MICROVISION INC DEL COM NEW	50.000	$5.01	$250.50	$369.19
594972408	MICROSTRATEGY INC C L A NEW NFS LLC IS A	5.637	$544.49	$3,069.29	$4,505.00
600544100	MILLER HERMAN INC	25.127	$39.19	$984.73	$1,229.69
606710200	MITEK SYS INC NEW	500.000	$17.75	$8,875.00	$7,459.25
60786M105	MOELIS & COMPANY COM USD0.01 CL A	19.847	$62.51	$1,240.64	$1,257.04
60937P106	MONGODB INC CL A	13.000	$529.35	$6,881.55	$5,215.30
626425102	MURATA MANUFACTURING CO UNSP ADR EACH REP	100.000	$19.88	$1,988.00	$1,885.45
626755102	MURPHY USA INC COM	1.000	$199.24	$199.24	$189.64
62914V106	NIO INC ADS EACH REP 1 ORD SHS	671.000	$31.68	$21,257.28	$28,791.16
641069406	NESTLE S A SPONSORED ADR REPSTG REG SH	15.000	$139.87	$2,098.01	$1,819.88
64110L106	NETFLIX COM INC COM	23.000	$602.44	$13,856.12	$11,643.84
651639106	NEWMONT MNG CORP NFS IS A SPECIALIST	350.000	$62.02	$21,707.00	$24,060.50
652526203	NEWTEK BUSINESS SVCS INC	121.285	$27.63	$3,351.10	$4,224.69
65339F101	NEXTERA ENERGY INC COM	116.777	$93.36	$10,902.30	$9,186.65
65406E102	NICOLET BANKSHARES INC	6.000	$85.75	$514.50	$465.84
654106103	NIKE INC CLASS B NFS IS A SPECIALIST	35.907	$166.67	$5,984.62	$4,724.73
654110105	NIKOLA CORP COM	500.000	$9.87	$4,935.00	$7,835.00
65473P105	NISOURCE INC NFS LLC IS A SPECIAL	6.000	$27.61	$165.66	$155.05
65481N100	NIU TECHNOLOGIES SPON ADS EACH REP 2	60.000	$16.11	$966.60	$2,237.40
668771108	NORTONLIFELOCK INC COM	204.000	$25.98	$5,299.92	$4,130.52
66987V109	NOVARTIS AG ADR ISIN #US66987V1098	32.000	$87.47	$2,799.04	$2,815.99
670002401	NOVAVAX INC COM NEW	10.000	$143.07	$1,430.70	$1,500.00
670346105	NUCOR CORP NFS IS A SPECIALIST	72.000	$114.15	$8,218.80	$4,019.28
67066G104	NVIDIA CORP NFS LLC IS A MARKET	114.429	$294.11	$33,654.71	$16,712.46
679295105	OKTA INC CL A	20.000	$224.17	$4,483.40	$5,667.42
68236P107	ONCTERNAL THERAPEUTICS INC COM	200.000	$2.27	$454.00	$1,740.00
683712103	OPENDOOR TECHNOLOGIES INC COM	180.000	$14.61	$2,629.80	$5,268.60
68386M102	OPTEC INTL INC COM	90.000	$0.01	$0.50	$10.89
68389X105	ORACLE CORPORATION NFS LLC IS A MARKET	95.347	$87.21	$8,315.21	$8,021.09
686688102	ORMAT TECHNOLOGIES INC	4.000	$79.30	$317.20	$287.15
690145107	OUTSET MED INC COM	135.000	$46.09	$6,222.15	$5,896.28
690732102	OWENS & MINOR INC HOLDING COMPANY	26.006	$43.50	$1,131.26	$971.70
69269L104	OZON HLDGS PLC SPN ADS EACH REP 1 ORD	15.000	$29.61	$444.15	$898.03
693475105	PNC FINL SVCS GROUP	77.000	$200.52	$15,440.04	$9,429.04
693718108	PACCAR INC NFS LLC IS A MARKET	171.354	$88.26	$15,123.70	$12,071.93
69608A108	PALANTIR TECHNOLOGIES INC CL	100.000	$18.21	$1,821.00	$2,385.00
70432V102	PAYCOM SOFTWARE INC COM USD0.01	13.000	$415.19	$5,397.47	$5,591.14
70450Y103	PAYPAL HLDGS INC COM	176.000	$188.58	$33,190.08	$40,312.19
70614W100	PELOTON INTERACTIVE INC CL A COM	30.000	$35.76	$1,072.80	$1,919.99
307305102	FANUC LTD UNSP ADR EACH REPR 0.5 ORD	95.000	$21.17	$2,011.34	$2,246.68
29786A106	ETSY INC COM	0.492	$218.94	$107.72	$105.38
30257X104	FB FINL CORP COM	6.000	$43.82	$262.92	$253.19
30303M102	FACEBOOK INC COM USD0.000006 CL A	127.000	$336.35	$42,716.45	$37,243.44
311642102	FARO TECHNOLOGIES INC	30.000	$70.02	$2,100.60	$2,640.00
31428X106	FEDEX CORP NFS LLC IS A	25.109	$258.64	$6,494.19	$6,323.94
31931U102	FIRST BK WILLIAMSTOWN NEW	88.342	$14.51	$1,281.84	$1,208.13
32022K102	FIRST FINL NORTHWEST INC COM	147.977	$16.17	$2,392.79	$2,428.02
32076V103	FIRST MAJESTIC SILVER CORP COM	150.000	$11.11	$1,666.50	$2,464.50
33813J106	FISKER INC CL A COM STK	1,000.000	$15.73	$15,730.00	$22,490.00
34380C102	FLUENT INC COM	250.000	$1.99	$497.50	$963.43
345370860	FORD MTR CO DEL COM	381.927	$20.77	$7,932.62	$4,548.14
351858105	FRANCO NEV CORP COM ISIN #CA3518581051	90.000	$138.29	$12,446.10	$13,710.08
35671D857	FREEPORT MCMORAN COPPER & GOLD CL B	923.982	$41.73	$38,557.77	$29,628.47
35953D104	FUBOTV INC COM	2.000	$15.52	$31.04	$30.96

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CUSIP #	SECURITY DESCRIPTION	SHARE BALANCE	PRICE	TOTAL MARKET VALUE	HISTORICAL COST
359664109	FULGENT GENETICS INC COM	70.000	$100.59	$7,041.30	$9,695.00
36467W109	GAMESTOP CORP NEW CL A	984.000	$148.39	$146,015.76	$166,267.42
369550108	GENERAL DYNAMICS NFS LLC IS A SPECIAL	89.000	$208.47	$18,553.83	$16,546.47
369604301	GENERAL ELECTRIC CO COM NEW	22.023	$94.47	$2,080.51	$2,510.55
37045V100	GENERAL MOTORS CO COM USD0.01	292.000	$58.63	$17,119.96	$12,455.60
375558103	GILEAD SCIENCES INC	177.000	$72.61	$12,851.97	$12,851.18
37733W105	GLAXOSMITHKLINE PLC SPONSORED ADR	58.496	$44.10	$2,579.67	$2,320.56
37890U108	GLOBAL BLOOD THERAPEUTICS INC COM	75.000	$29.27	$2,195.25	$2,655.52
37957M106	GLOBAL ATOMIC CORPORATION COM NPV	1,875.000	$3.32	$6,219.56	$6,172.50
379577208	GLOBUS MED INC CL A NEW	10.000	$72.20	$722.00	$816.20
38113L107	GOLDEN NUGGET ONLINE GAMIN COM CL A	9.000	$9.95	$89.55	$121.05
38141G104	GOLDMAN SACHS GROUP INC	14.117	$382.55	$5,400.46	$5,038.02
38150K103	GOLDMAN SACHS PHYSICAL GOLD UNIT	626.950	$18.18	$11,397.95	$11,244.11
G0450A105	ARCH CAPITAL GROUP LTD	28.000	$44.45	$1,244.60	$1,184.54
G06242104	ATLASSIAN CORPORATION PLC COM	21.000	$381.29	$8,007.09	$5,073.39
G16962105	BUNGE LIMITED COM	4.000	$93.36	$373.44	$337.07
G3223R108	EVEREST REINSURANCE GROUP LTD	5.029	$273.92	$1,377.54	$1,329.20
G3728V109	GAN LTD COM USD0.01	140.000	$9.19	$1,286.60	$3,642.60
G4412G101	HERBALIFE LTD USD COM SHS	50.000	$40.93	$2,046.50	$2,000.00
G4474Y214	HENDERSON GROUP PLC ORD USD0	44.375	$41.94	$1,861.09	$1,947.44
G5960L103	MEDTRONIC PLC USD0.0001	12.124	$103.45	$1,254.23	$1,555.90
G65163100	JOBY AVIATION INC COM USD0.0001	100.000	$7.30	$730.00	$975.00
G66721104	NORWEGIAN CRUISE LINE HLDGS LTD COM	200.000	$20.74	$4,148.00	$4,000.00
H17182108	CRISPR THERAPEUTICS AG COM CHF0.03	197.000	$75.78	$14,928.66	$28,266.39
L0423Q108	ARRIVAL COM ISIN #LU2314763264	200.000	$7.42	$1,484.00	$2,150.00
L8681T102	SPOTIFY TECHNOLOGY S.A. COM EUR0.000625	17.000	$234.03	$3,978.51	$5,452.41
M5216V106	GLOBAL-E ONLINE LTD COM NPV	10.000	$63.39	$633.90	$750.00
M5425M103	INMODE LTD COM ILS0.01	24.000	$70.58	$1,693.92	$2,227.34
M7S64H106	MONDAY COM LTD COM NPV	25.000	$308.72	$7,718.00	$6,926.00
M70700105	NANO-X IMAGING LTD COM USD0.01	182.000	$14.54	$2,646.28	$5,321.34
M98068105	WIX.COM LTD COM ILS0.01	20.000	$157.79	$3,155.80	$5,544.60
N07059210	ASML HOLDING NV EUR0.09 NY REG 2012	12.025	$796.14	$9,573.58	$7,705.45
N14506104	ELASTIC N V COM EUR0.01	30.000	$123.09	$3,692.70	$4,977.60
N52586109	LILIUM N V SHS CL A ISIN #NL0015000F41	250.000	$6.93	$1,732.50	$2,288.48
Q5058P361	JERVOIS MINING LTD NPV	1,000.000	$0.43	$429.00	$400.00
000360206	AAON INC COM PAR $0.004	2.000	$79.43	$158.86	$164.92
000375204	ABB LTD SPONSORED ADR	110.000	$38.17	$4,198.70	$3,698.04
002824100	ABBOTT LABORATORIES NFS IS A SPECIALIST	227.628	$140.74	$32,036.36	$24,676.07
001055102	AFLAC INC NFS IS A SPECIALIST	21.124	$58.39	$1,233.43	$1,201.95
00165C104	AMC ENTERTAINMENT HOLDINGS INC COM	40.000	$27.20	$1,088.00	$520.35
00206R102	AT&T INC COM	201.497	$24.60	$4,956.83	$5,555.34
00287Y109	ABBVIE INC COM USD0.01	2.000	$135.40	$270.80	$242.25
004225108	ACADIA PHARMACEUTICALS INC	583.000	$23.34	$13,607.22	$12,876.00
00436Q106	ACCEL ENTMT INC COM CL A1	150.000	$13.02	$1,953.00	$1,982.43
00724F101	ADOBE SYS INC NFS LLC IS A MARKET	28.000	$567.06	$15,877.68	$15,225.47
00783V104	ADYEN NV UNSPON ADS EACH REP 0.02 ORD	240.000	$26.29	$6,308.88	$5,223.00
007903107	ADVANCED MICRO DEVICES INC	98.734	$143.90	$14,207.82	$9,905.77
009066101	AIRBNB INC COM CL A	40.000	$166.49	$6,659.60	$6,200.00
011642105	ALARM COM HLDGS INC COM	50.000	$84.81	$4,240.50	$4,831.00
011659109	ALASKA AIR GROUP INC NFS IS A SPECIALIST	60.000	$52.10	$3,126.00	$3,409.63
012348108	ALBANY INTL CORP NEW CL A	3.000	$88.45	$265.35	$261.99
012653101	ALBEMARLE CORP NFS IS A SPECIALIST	100.411	$233.77	$23,473.08	$14,628.09
01609W102	ALIBABA GROUP HLDG LTD	172.000	$118.79	$20,431.88	$28,845.43
01748H107	ALLEGIANCE BANCSHARES INC COM	31.196	$42.21	$1,316.78	$1,189.61
02005N100	ALLY FINANCIAL INC COM NPV	50.249	$47.61	$2,392.35	$2,462.50
02079K107	ALPHABET INC CAP STK CL C	138.000	$2,893.59	$399,315.42	$368,266.29
02079K305	ALPHABET INC CAP STK CL A	12.000	$2,897.04	$34,764.48	$26,431.39
023135106	AMAZON.COM INC NFS LLC IS A MARKET	29.000	$3,334.34	$96,695.86	$73,594.38
02319V103	AMBEV SA ADR EACH REPR ORD SPON	100.000	$2.80	$280.00	$306.00

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CUSIP #	SECURITY DESCRIPTION	SHARE BALANCE	PRICE	TOTAL MARKET VALUE	HISTORICAL COST
023436108	AMEDISYS INC	20.000	$161.88	$3,237.60	$3,600.00
03236M200	AMYRIS INC COM NEW	175.000	$5.41	$946.75	$1,587.87
03524A108	ANHEUSER-BUSCH INBEV ADR EAH REP 1 ORD	28.000	$60.55	$1,695.40	$2,123.25
03676B102	ANTERO MIDSTREAM CORP COM	410.324	$9.68	$3,971.94	$4,178.73
03768E105	APOLLO GLOBAL MGMT INC COM CL A	104.710	$72.43	$7,584.15	$5,179.26
03782L101	APPIAN CORP CL A	25.000	$65.21	$1,630.25	$5,718.25
037833100	APPLE COMPUTER INC NFS LLC IS A MARKET	790.188	$177.57	$140,313.68	$94,656.31
038222105	APPLIED MATERIALS INC	7.036	$157.36	$1,107.18	$1,006.12
03938L203	ARCELORMITTAL NY REGISTRY SHS	34.000	$31.83	$1,082.22	$1,176.57
03969T109	ARCTURUS THERAPEUTICS HLDG	16.000	$37.01	$592.16	$723.36
040413106	ARISTA NETWORKS INC COM USD0.0001	64.000	$143.75	$9,200.00	$5,140.72
043113208	ARTESIAN RES CORP CL A	8.000	$46.33	$370.64	$324.84
043436104	ASBURY AUTOMOTIVE GROUP INC	6.178	$172.73	$1,067.13	$1,187.60
046353108	ASTRAZENECA PLC- SPONS ADR	60.470	$58.25	$3,522.38	$3,481.31
052800109	AUTOLIV INC	10.000	$103.41	$1,034.10	$1,012.70
049164205	ATLAS AIR WORLDWIDE HOLDINGS INC COM NEW	16.000	$94.12	$1,505.92	$1,196.80
050734201	AUDIOEYE INC COM NEW	100.000	$7.02	$702.00	$3,175.00
05156V102	AURINIA PHARMACEUTICALS INC	40.000	$22.87	$914.80	$833.80
05329W102	AUTONATION INC NFS IS A SPECIALIST	10.000	$116.85	$1,168.50	$1,156.08
053604104	AVEPOINT INC COM CL A	340.000	$6.29	$2,138.60	$5,002.66
05464C101	AXON ENTERPRISE INC COM	14.000	$157.00	$2,198.00	$2,463.09
05465C100	AXOS FINL INC COM	200.000	$55.91	$11,182.00	$8,280.00
055298103	BCB BANCORP INC (NJ)	79.826	$15.43	$1,231.72	$1,199.59
05545E209	BHP BILLITON PLC SPON ADR	58.171	$59.77	$3,476.88	$3,504.39
055622104	BP PLC SPON ADR REPSNTG	485.939	$26.63	$12,940.56	$12,401.02
05565A202	BNP PARIBAS SPONSORED ADR REPSTG	92.000	$34.55	$3,178.97	$3,118.89
05722G100	BAKER HUGHES A GE CO CL A	17.000	$24.06	$409.02	$408.57
05759B107	BAKKT HOLDINGS INC COM CL A	100.000	$8.51	$851.00	$3,955.00
05946K101	BANCO BILBAO VIZCAYA ARGENTARIA S	242.738	$5.87	$1,424.87	$1,477.30
05964H105	BANCO SANTANDER CENT HISPANO S A	542.406	$3.29	$1,784.52	$2,227.88
060505104	BANK OF AMERICA CORP	1,359.952	$44.49	$60,504.26	$49,224.58
06684L103	BAOZUN INC ADR EACH REPR ORD SPONS	85.000	$13.90	$1,181.50	$3,026.00
06747R477	BARCLAYS BANK PLC IPTH SR B S&P	226.281	$18.53	$4,192.99	$7,261.46
067901108	BARRICK GOLD CORP NFS IS A SPECIALIST	176.949	$19.00	$3,362.03	$4,008.59
07556Q881	BEAZER HOMES USA INC COM NEW	56.000	$23.22	$1,300.32	$996.24
07725L102	BEIGENE LTD SPON ADS EACH REPR 13 ORD	14.000	$270.93	$3,793.02	$4,671.00
084310101	BERKELEY LTS INC COM	12.000	$18.18	$218.16	$302.76
084670702	BERKSHIRE HATHAWAY INC DEL CL B NEW	7.000	$299.00	$2,093.00	$1,823.57
08579W103	BERRY PLASTICS GROUP INC COM USD0.01	1.000	$73.78	$73.78	$71.63
08975P108	BIGCOMMERCE HLDGS INC COM SER 1	15.000	$35.37	$530.55	$1,302.06
090040106	BILIBILI INC ADS REPSTG SHS CL Z	10.000	$46.40	$464.00	$1,363.79
090572207	BIO RAD LABORATORIES INC CL A	1.500	$755.57	$1,133.36	$1,180.01
09071M205	BIOLINE RX LTD SPON ADS EACH REPR 15 ORD	2,970.000	$2.04	$6,058.80	$9,541.60
09260D107	BLACKSTONE GROUP INC COM CL A	367.331	$129.39	$47,528.96	$28,153.00
09260E105	BLACKROCK HEALTH SCIENCS TR II COM	698.503	$25.36	$17,714.04	$21,094.02
10920V107	BRIGHT HEALTH GROUP INC COM	175.000	$3.44	$602.00	$900.00
11135B100	BROADMARK RLTY CAP INC COM	608.083	$9.43	$5,734.22	$5,185.15
11135F101	BROADCOM INC COM	17.000	$665.41	$11,311.97	$8,541.70
117043109	BRUNSWICK CORP NFS IS A SPECIALIST	30.313	$100.73	$3,053.43	$3,245.87
12468P104	C3 AI INC CL A	20.000	$31.25	$625.00	$1,058.00
12504L109	CBRE GROUP INC CL A	125.000	$108.51	$13,563.75	$4,847.77
126408103	C S X CORP NFS LLC IS A	54.459	$37.60	$2,047.66	$1,798.90
126650100	CVS CORP DEL NFS LLC IS A	208.518	$103.16	$21,510.72	$13,557.57
127097103	CABOT OIL & GAS CP CL A	75.000	$19.00	$1,425.00	$1,462.50
127387108	CADENCE DESIGN SYSTEMS INC	40.000	$186.35	$7,454.00	$5,513.60
13321L108	CAMECO CORP	245.000	$21.81	$5,343.45	$6,272.75
14040H105	CAPITAL ONE FINANCIAL CORP	71.766	$145.09	$10,412.53	$11,310.81
143658300	CARNIVAL CORP PAIRED CTF 1 COM	2,200.000	$20.12	$44,264.00	$0.00
149123101	CATERPILLAR INC NFS IS A SPECIALIST	34.270	$206.74	$7,084.98	$7,715.31

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CUSIP #	SECURITY DESCRIPTION	SHARE BALANCE	PRICE	TOTAL MARKET VALUE	HISTORICAL COST
15101Q108	CELESTICA INC SUB VTG SHS	131.000	$11.13	$1,458.03	$1,190.14
155685100	CENTRAL VALLY COMM BANCORP	54.905	$20.77	$1,140.38	$1,013.15
156504300	CENTURY COMMUNITIES COM USD0.01	33.212	$81.79	$2,716.41	$1,986.30
156727109	CERENCE INC COM	115.000	$76.64	$8,813.60	$13,035.68
157210105	CEVA INC	100.000	$43.24	$4,324.00	$6,314.50
166764100	CHEVRONTEXACO CORP	17.430	$117.35	$2,045.41	$1,798.52
169905106	CHOICE HOTEL INTL INC NEW	2.000	$155.99	$311.98	$307.56
171779309	CIENA CORP COM NEW	3.000	$76.97	$230.91	$231.72
172062101	CINCINNATI FINL CORP NFS LLC IS A MARKET	9.048	$113.93	$1,030.84	$1,118.58
17275R102	CISCO SYS INC NFS LLC IS A MARKET	273.000	$63.37	$17,300.01	$9,983.25
172967424	CITIGROUP INC COM NEW	27.573	$60.39	$1,665.13	$2,003.14
174610105	CITIZENS FINANCIAL GROUP INC COM	31.045	$47.25	$1,466.88	$1,392.38
17878Y207	CIVEO CORP CDA COM NPV(POST REV SPLIT)	57.000	$19.17	$1,092.69	$1,178.82
18914F103	CLOVER HEALTH INVESTMENTS CORP COM	893.000	$3.72	$3,321.96	$8,671.22
18915M107	CLOUDFLARE INC CL A COM	104.000	$131.50	$13,676.00	$9,370.95
19260Q107	COINBASE GLOBAL INC COM CL A	46.000	$252.37	$11,609.02	$17,583.72
194162103	COLGATE-PALMOLIVE CO NFS IS A SPECIALIST	161.000	$85.34	$13,739.74	$12,454.91
197236102	COLUMBIA BKG SYS INC	32.271	$32.72	$1,055.91	$1,184.64
201723103	COMMERCIAL METALS CO	37.442	$36.29	$1,358.77	$1,023.85
20825C104	CONOCOPHILLIPS NFS LLC IS A	39.544	$72.18	$2,854.29	$2,187.85
22160K105	COSTCO WHOLESALE CORP	93.270	$567.70	$52,949.38	$31,790.48
22587M106	CRESCO LABS INC SUB VTG SHS	1,525.000	$6.64	$10,129.20	$22,962.86
22717L101	CRONOS GROUP INC COM NPV	600.000	$3.92	$2,352.00	$7,208.25
22788C105	CROWDSTRIKE HLDGS INC CL A	67.000	$204.75	$13,718.25	$14,996.91
23256X100	CYBIN INC COM NPV ISIN #CA23256X1006	1,545.000	$1.19	$1,834.69	$2,477.41
235851102	DANAHER CORP	27.024	$329.01	$8,891.17	$8,306.51
23703Q203	DAQO NEW ENERGY CORP ADR EACH REPR 25 ORD	92.000	$40.32	$3,709.44	$9,638.96
237194105	DARDEN RESTAURANTS	10.000	$150.64	$1,506.40	$1,500.00
23804L103	DATADOG INC CL A COM	185.036	$178.11	$32,956.76	$21,436.36
247361702	DELTA AIR LINES INC DEL COM NEW	300.000	$39.08	$11,724.00	$11,500.00
24790A101	DENBURY INC COM	7.000	$76.59	$536.13	$491.68
25058X105	DESKTOP METAL INC COM CL A	400.000	$4.95	$1,980.00	$5,424.00
253393102	DICKS SPORTING GOODS INC	10.486	$114.99	$1,205.79	$1,215.95
25460E232	DIREXION SHS ETF TR DAILY SM CP BEAR	80.416	$27.04	$2,174.45	$4,806.95
254687106	DISNEY WALT CO DEL (HOLDING COMPANY)	267.272	$154.89	$41,397.76	$47,765.66
25470M109	DISH NETWORK CORP CL A	200.000	$32.44	$6,488.00	$6,280.00
254709108	DISCOVER FINL SVCS	71.155	$115.56	$8,222.67	$6,141.25
256163106	DOCUSIGN INC COM	28.000	$152.31	$4,264.68	$7,215.71
26701L100	DUTCH BROS INC CL A	10.000	$50.91	$509.10	$470.00
278642103	EBAY INC NFS LLC IS A MARKET	230.000	$66.50	$15,295.00	$12,158.93
28106W103	EDITAS MEDICINE INC COM	115.000	$26.55	$3,053.25	$4,056.31
28176E108	EDWARDS LIFESCIENCES CORP	25.000	$129.55	$3,238.75	$2,394.19
292671708	ENERGY FUELS INC COM NPV (POST REV SPLIT)	350.000	$7.63	$2,670.50	$3,292.50
72765Q882	PLATINUM GROUP METALS LTD COM NPV	600.000	$1.58	$948.00	$2,627.00
707569109	PENN NATL GAMING INC	58.000	$51.85	$3,007.30	$5,732.63
717081103	PFIZER INC NFS IS A SPECIALIST	512.958	$59.05	$30,290.17	$18,690.58
72352L106	PINTEREST INC CL A	105.000	$36.35	$3,816.75	$6,989.20
74019P108	PRECISION BIOSCIENCES INC COM	275.000	$7.40	$2,035.00	$2,398.00
74051N102	PREMIER INC COM USD0.01 CL A	56.000	$41.17	$2,305.52	$1,981.28
74347G440	PROSHARES TRUST BITCOIN STRATEGY ETF	225.000	$28.90	$6,502.50	$9,577.50
74347G648	PROSHARES TR ULTRASHRT DOW 30	43.000	$26.01	$1,118.43	$6,364.15
744320102	PRUDENTIAL FINL INC	197.422	$108.24	$21,368.96	$16,466.39
745867101	PULTE HOMES INC NFS LLC IS A	317.000	$57.16	$18,119.72	$9,735.37
74736K101	QORVO INC COM ISIN #US74736K1016	30.000	$156.39	$4,691.70	$5,094.06
747525103	QUALCOMM INC NFS LLC IS A MARKET	68.759	$182.87	$12,573.96	$7,844.14
74767V109	QUANTUMSCAPE CORP COM CL A	200.000	$22.19	$4,438.00	$11,391.01
74930B105	RBB BANCORP COM	47.227	$26.20	$1,237.35	$1,193.33
806857108	SCHLUMBERGER LIMITED NFS IS A SPECIALIST	53.422	$29.95	$1,599.99	$1,696.14
799566104	SANA BIOTECHNOLOGY INC COM	44.000	$15.48	$681.12	$1,111.02

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CUSIP #	SECURITY DESCRIPTION	SHARE BALANCE	PRICE	TOTAL MARKET VALUE	HISTORICAL COST
800212201	SANDVIK AB ADR	155.000	$27.90	$4,324.50	$4,107.50
803054204	SAP AG SPON ADR NFS IS A SPECILIST	30.000	$140.11	$4,203.30	$4,203.29
808513105	SCHWAB CHARLES CORP NEW	95.943	$84.10	$8,068.81	$5,212.92
81141R100	SEA LIMITED ADS EACH REP ONE CLASS A ORD	33.000	$223.71	$7,382.43	$9,777.35
750236101	RADIAN GROUP INC	50.335	$21.13	$1,063.58	$1,197.00
75513E101	RAYTHEON TECHNOLOGIES CORP	27.331	$86.06	$2,352.11	$2,360.29
75737F108	REDFIN CORP COM	90.000	$38.39	$3,455.10	$7,132.05
75886F107	REGENERON PHARMACEUTICALS	10.000	$631.52	$6,315.20	$6,539.00
759509102	RELIANCE STEEL AND ALUMINUM CO	2.000	$162.22	$324.44	$327.96
75972A301	RENEWABLE ENERGY GROUP INC COM NEW	102.000	$42.44	$4,328.88	$9,918.70
767204100	RIO TINTO PLC SPON ADR	44.427	$66.94	$2,973.94	$3,911.49
767292105	RIOT BLOCKCHAIN INC COM	51.726	$22.33	$1,155.04	$2,999.99
76954A103	RIVIAN AUTOMOTIVE INC COM CL A	20.000	$103.69	$2,073.80	$1,900.00
771049103	ROBLOX CORP CL A	40.000	$103.16	$4,126.40	$5,120.00
771195104	ROCHE HLDG LTD ADR	82.000	$52.01	$4,264.74	$3,502.33
77311W101	ROCKET COS INC COM CL A	75.000	$14.00	$1,050.00	$1,314.47
780259206	ROYAL DUTCH SHELL PLC SPON ADR REPSTG	63.213	$43.40	$2,743.44	$2,499.34
78467J100	SS&C TECHNOLOGIES HLDGS INC COM	2.000	$81.98	$163.96	$158.94
79466L302	SALESFORCE COM INC	60.000	$254.13	$15,247.80	$13,572.05
82452J109	SHIFT4 PMTS INC CL A	75.000	$57.93	$4,344.75	$5,619.75
92852W501	VIVEVE MED INC COM NEW	230.000	$1.14	$262.20	$972.29
816212104	SELECTA BIOSCIENCES INC COM	250.000	$3.26	$815.00	$887.50
81762P102	SERVICENOW INC COM USD0.001	13.000	$649.11	$8,438.43	$7,914.75
82509L107	SHOPIFY INC NPV SUBORDINATED A	7.000	$1,377.39	$9,641.73	$8,763.15
827048109	SILGAN HOLDINGS INC	5.000	$42.84	$214.20	$212.20
82837P408	SILVERGATE CAP CORP CL A	4.000	$148.20	$592.80	$590.88
82889N855	SIMPLIFY EXCHANGE TRADED FUNDS	47.767	$37.54	$1,793.17	$2,149.51
83067L109	SKILLZ INC COM	2,100.000	$7.44	$15,624.00	$26,985.96
83088M102	SKYWORKS SOLUTIONS INC COM	35.438	$155.14	$5,497.85	$6,137.43
832696405	SMUCKER J M CO NEW	2.000	$135.82	$271.64	$256.82
83304A106	SNAP INC CL A	45.000	$47.03	$2,116.35	$2,475.23
833445109	SNOWFLAKE INC CL A	45.000	$338.75	$15,243.75	$11,167.06
848577102	SPIRIT AIRLINES INC COM USD0.0001	500.000	$21.85	$10,925.00	$19,034.75
852234103	SQUARE INC CL A	66.000	$161.51	$10,659.66	$16,730.04
852312305	STAAR SURGICAL CO COM NEW PAR $0.01	10.000	$91.30	$913.00	$1,200.00
85914M107	STEPSTONE GROUP INC COM CL A	10.035	$41.57	$417.15	$501.50
860897107	STITCH FIX INC COM CL A	75.000	$18.92	$1,419.00	$2,221.25
863667101	STRYKER CORP NFS LLC IS A	12.056	$267.42	$3,224.02	$3,069.56
867224107	SUNCOR ENERGY INC NEW COM	60.783	$25.03	$1,521.40	$1,562.29
86730L109	SUNDIAL GROWERS INC COM NPV	23.000	$0.58	$13.30	$7.06
872590104	T-MOBILE US INC COM USD0.0001	35.548	$115.98	$4,122.86	$4,499.76
87265H109	TRI POINTE HOMES INC COM USD0.01	50.000	$27.89	$1,394.50	$1,202.75
874039100	TAIWAN SEMICONDUCTOR MANUFACTURING CO LTD	431.860	$120.31	$51,957.08	$51,483.06
87612E106	TARGET CORP NFS IS A SPECIALIST	10.000	$231.44	$2,314.40	$2,491.00
87918A105	TELADOC INC COM	31.128	$91.82	$2,858.17	$7,753.54
87968A104	TELLURIAN INC NEW COM	727.000	$3.08	$2,239.16	$2,980.26
88025U109	10X GENOMICS INC CL A COM	30.000	$148.96	$4,468.80	$5,502.90
88032Q109	TENCENT HLDGS LIMITED UNSP ADR	123.000	$58.59	$7,206.82	$9,346.25
880770102	TERADYNE INC NFS IS A SPECIALIST	41.126	$163.53	$6,725.33	$5,334.14
880890108	TERNIUM S A SPONSORED ADR	21.432	$43.52	$932.72	$1,197.00
88160R101	TESLA MOTORS INC COM USD0.001	247.123	$1,056.78	$261,154.64	$182,977.29
883203101	TEXTRON INC	196.000	$77.20	$15,131.20	$8,592.86
88339J105	THE TRADE DESK INC COM CL A	70.000	$91.64	$6,414.80	$5,935.68
883556102	THERMO ELECTRON CORP	7.007	$667.24	$4,675.35	$3,185.33
88579Y101	3M COMPANY NFS IS A SPECIALIST	17.404	$177.63	$3,091.47	$3,495.64
88688T100	TILRAY INC COM CL 2	29.000	$7.03	$203.87	$568.58
889110102	TOKYO ELECTRON ADR EACH REPR 2 SHS	33.000	$143.89	$4,748.47	$3,535.89
89055F103	TOPBUILD CORP COM	2.000	$275.91	$551.82	$442.00
89151E109	TOTAL FINA ELF S A SPON ADR	79.000	$49.46	$3,907.34	$3,829.31

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CUSIP #	SECURITY DESCRIPTION	SHARE BALANCE	PRICE	TOTAL MARKET VALUE	HISTORICAL COST
892331307	TOYOTA MTRS CORP ADR REPSTG 2 SHRS	21.197	$185.30	$3,927.80	$3,374.63
89377M109	TRANSMEDICS GROUP INC COM	220.000	$19.16	$4,215.20	$6,070.30
89610F101	TRICIDA INC COM	35.000	$9.56	$334.60	$273.70
898202106	TRUPANION INC COM USD0.00001	50.000	$132.03	$6,601.50	$5,914.25
902973304	US BANCORP DEL COM NEW	110.753	$56.17	$6,221.00	$6,111.00
90353T100	UBER TECHNOLOGIES INC COM	166.000	$41.93	$6,960.38	$5,550.09
90364P105	UIPATH INC CL A	25.000	$43.13	$1,078.25	$1,022.00
904767704	UNILEVER PLC NEW SPONS ADR	70.883	$53.79	$3,812.80	$4,308.66
907818108	UNION PACIFIC CORP NFS LLC IS A	16.164	$251.93	$4,072.20	$3,606.40
910047109	UNITED CONTINENTAL HOLDINGS INC COM	200.000	$43.78	$8,756.00	$8,700.00
911312106	UNITED PARCEL SVC INC	2.036	$214.34	$436.40	$403.20
91332U101	UNITY SOFTWARE INC COM	40.000	$142.99	$5,719.60	$5,119.50
91680M107	UPSTART HLDGS INC COM	41.927	$151.30	$6,343.56	$10,928.03
91913Y100	VALERO ENERGY CORP NFS LLC IS A SPECIAL	79.000	$75.11	$5,933.69	$6,532.92
920437100	VALUE LINE INC	5.000	$46.82	$234.10	$235.65
922475108	VEEVA SYSTEMS INC COM USD0.00001 CL A	18.000	$255.48	$4,598.64	$5,186.25
92343V104	VERIZON COMMUNICATIONS	581.654	$51.96	$30,222.74	$31,439.39
92556H206	VIACOMCBS INC CL B	222.000	$30.18	$6,699.96	$6,694.32
928254101	VIRTU FINL INC CL A	364.981	$28.83	$10,522.40	$10,316.25
92826C839	VISA INC COM CL A	79.742	$216.71	$17,280.89	$15,840.61
92840M102	VISTRA ENERGY CORP COM	603.000	$22.77	$13,730.31	$13,689.67
934550203	WARNER MUSIC GROUP CORP COM CL A	171.831	$43.18	$7,419.66	$6,630.26
92921W300	VUZIX CORP COM NPV (POST REV SPLIT)	95.000	$8.67	$823.65	$1,997.85
931142103	WAL-MART STORES INC NFS IS A SPECIALIST	110.000	$144.69	$15,915.90	$11,516.78
93148P102	WALKER & DUNLOP INC COM	55.982	$150.88	$8,446.56	$5,192.15
949746101	WELLS FARGO & CO NEW	9,060.000	$47.98	$434,698.80	$475,650.00
962879102	WHEATON PRECIOUS METALS CORP COM NPV	200.000	$42.93	$8,586.00	$9,465.75
98156Q108	WORLD WRESTLING FEDERATION ENTMT	25.062	$49.34	$1,236.56	$1,253.00
98311A105	WYNDHAM HOTELS &RESORTS INC COM	2.000	$89.65	$179.30	$177.68
983919101	XILINX INC NFS LLC IS A MARKET	120.072	$212.03	$25,458.87	$23,948.20
98887Q104	ZAI LAB LTD-ADR	27.000	$62.85	$1,696.95	$4,180.40
98980G102	ZSCALER INC COM	77.751	$321.33	$24,983.73	$19,032.04
98980L101	ZOOM VIDEO COMMUNICATIONS INC	29.000	$183.91	$5,333.39	$9,552.66
98985X100	ZYMERGEN INC COM	37.000	$6.69	$247.53	$487.66
	CORPORATE BOND				
57385LAA6	MARVELL TECHNOLOGY GROUP LTD NOTE	10,000.000	$1.04	$10,387.40	$10,510.63
380956AD4	GOLDCORP INC NEW SR NT	10,000.000	$1.02	$10,239.90	$10,145.90
	EXTERNAL FUND				
61744J861	MORG STAN DW INSTL EQUITY GROWTH	115.614	$74.29	$8,588.96	$11,783.34
38147N293	GOLDMAN SACHS GQG PARTNERS INTL OPP I	2,492.644	$19.60	$48,855.82	$40,537.49
56062X708	MAINSTAY HIGH YIELD CORPORATE BD FD I	2,837.404	$5.62	$15,946.21	$15,872.50
314197104	FEDERATED HIGH YIELD INSTL FUND	3,513.923	$7.07	$24,843.44	$25,121.92
61756E461	MORGAN STANLEY INTL ADVANTAGE CL I	2,290.963	$30.30	$69,416.18	$49,854.14
74439V800	PRUDENTIAL FLOATING RATE INCOME CL Z	3,418.954	$9.66	$33,027.10	$33,000.00
779546100	T ROWE PRICE DIVIDEND GROWTH	25.167	$74.07	$1,864.12	$1,529.19
56382P583	MANNING & NAPIER HIGH YIELD BD SRS S	2,417.061	$10.37	$25,064.92	$26,186.01
	* FIDELITY FUND				
315807461	FIDELITY STRATEGIC INCOME FUND	236.532	$12.69	$3,001.59	$3,070.31
315911628	FIDELITY ZERO LARGE CAP INDEX FUND	1,349.382	$16.87	$22,764.07	$20,215.10
316062108	FIDELITY CAPITAL & INCOME	2,228.478	$11.21	$24,981.24	$25,625.74
316390475	FIDELITY SELECT MEDICAL EQUIP&SYSTEM	42.789	$83.18	$3,559.19	$3,271.29
316389105	FIDELITY OTC PORT	10.903	$19.60	$213.70	$209.62
316389303	FIDELITY BLUE CHIP GROWTH	68.018	$183.62	$12,489.47	$12,199.74
31635T708	FIDELITY ZERO TOTAL MARKET INDEX	2,663.087	$16.78	$44,686.60	$30,993.17
	OPTION				
5057289UU	PUT (AMD) ADVANCED MICRO	(1.000)	$1,690.00	($1,690.00)	$0.00
5155039QO	CALL (FSR) FISKER INC CL A COM	(10.000)	$9.00	($90.00)	$0.00
5327219XT	PUT (ASML) ASML HOLDING NV	(1.000)	$225.00	($225.00)	$0.00
5431719PL	PUT (MELI) MERCADOLIBRE INC COM	(1.000)	$11,360.00	($11,360.00)	$0.00
5687329WW	PUT (MELI) MERCADOLIBRE INC COM	(1.000)	$2,909.00	($2,909.00)	$0.00

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CUSIP #	SECURITY DESCRIPTION	SHARE BALANCE	PRICE	TOTAL MARKET VALUE	HISTORICAL COST
5562899WU	PUT (COST) COSTCO WHOLESALE	(3.000)	$330.00	($990.00)	$0.00
5564469HF	PUT (ALB) ALBEMARLE CORP COM	(1.000)	$730.00	($730.00)	$0.00
5565719EE	PUT (BNTX) BIONTECH SE SPON ADS	(2.000)	$1,440.00	($2,880.00)	$0.00
5615409SO	PUT (MELI) MERCADOLIBRE INC COM	(1.000)	$38.00	($38.00)	$0.00
5533379CU	CALL (LCID) LUCID GROUP INC COM	(3.000)	$1,305.00	($3,915.00)	$0.00
	PREFERRED STOCK				
Y27183121	GLOBAL SHIP LEASE INC	157.417	$25.70	$4,045.62	$3,999.98
949746804	WELLS FARGO & CO NEW PERP PFD CONV CL A	6.000	$1,490.53	$8,943.18	$8,563.51
75134P402	RAMACO RES INC CAL NT 26	154.083	$27.52	$4,240.36	$3,999.99
060505682	BANK AMER CORP NON CUMULATIVE PERPETUAL	2.000	$1,445.40	$2,890.80	$2,955.22
	UNIT				
16934Q208	CHIMERA INVT CORP COM NEW	122.644	$15.08	$1,849.47	$1,789.43
19247L106	COHEN & STEERS QUALITY INCOME RLTY	637.633	$18.22	$11,617.67	$10,353.53
22542D258	CREDIT SUISSE AG NASSAU BRH VELOCITY	68.000	$1.40	$95.20	$23,457.70
828806109	SIMON PPTY GRP INC	129.149	$159.77	$20,634.14	$8,977.48
84860W300	SPIRIT RLTY CAP INC NEW COM NEW	65.912	$48.19	$3,176.30	$2,229.06
85254J102	STAG INDL INC COM	152.755	$47.96	$7,326.13	$3,588.00
46090E103	INVESCO QQQ TR UNIT SER 1	667.938	$397.85	$265,739.13	$227,250.17
389637109	GRAYSCALE BITCOIN TR BTC SHS ACCD INVS	6,649.000	$34.25	$227,728.25	$248,671.32
43010E404	HIGHLAND FLOATNG RATE OPPRT II SHS	398.922	$10.99	$4,384.15	$4,150.41
45782C821	INNOVATOR ETFS TR S&P 500 ULTRA	444.000	$28.52	$12,660.66	$12,627.36
46137V464	INVESCO EXCHANGE TRADED FD TR RUSEL	602.508	$90.94	$54,792.08	$50,508.22
46137V639	INVESCO EXCHANGE TRADED FD TR DYNMC	18.058	$127.65	$2,305.15	$3,003.48
46138G508	INVESCO EXCHNG TRADED FD TR II SR	2,282.445	$22.10	$50,442.03	$50,574.74
46138G706	INVESCO EXCHNG TRADED FD TR II	84.000	$76.97	$6,465.48	$9,930.27
46138J874	INVESCO EXCH TRD SLF IDX FD TR BULSHS	4,303.408	$23.23	$99,968.17	$100,456.18
46284V101	IRON MTN INC NEW COM ISIN #US46284V1017	171.183	$52.33	$8,958.01	$3,969.77
46428Q109	ISHARES SILVER TR ISHARES	175.000	$21.51	$3,764.25	$4,369.25
464287226	ISHARES TR LEHMAN U S AGGREGATE BD FD	104.561	$114.08	$11,928.32	$12,052.42
464287242	ISHARES TR GOLDMAN SACHS CORP BD FD	257.000	$132.52	$34,057.64	$34,840.13
464287655	ISHARES TR RUSSELL 2000 INDEX FD	234.867	$222.45	$52,246.16	$52,103.30
464287515	ISHARES TR GOLDMAN SACHS SOFTWARE INDEX	43.835	$397.65	$17,430.99	$17,949.53
464287606	ISHARES TR S&P MICAP 400/BARRA	648.000	$85.26	$55,248.48	$37,583.24
464287648	ISHARES TR RUSSELL 2000 GROWTH INDEX FD	109.349	$293.05	$32,044.72	$34,394.87
464287705	ISHARES TR S&P MIDCAP 400/BARRA	233.000	$110.68	$25,788.44	$16,478.59
464287804	ISHARES TRUST S&P SMALLCAP 600 INDEX	1,418.799	$114.51	$162,466.67	$122,056.96
464288182	ISHARES TR MSCI ALL COUNTRY ASIA EX	50.079	$82.70	$4,141.53	$5,082.25
464288752	ISHARES TR DOW JONES US HOME CONSTN INDEX	52.000	$82.92	$4,311.84	$4,078.21
464288802	ISHARES TR KLD SELECT SOCIAL	356.934	$106.25	$37,924.24	$33,902.58
464289438	ISHARES TRUST RUSSELL 200 GROWTH	321.825	$173.35	$55,788.36	$44,028.75
46429B663	ISHARES TRUST HIGH DIVID EQUITY FD	622.039	$100.99	$62,819.72	$54,969.59
22822V101	CROWN CASTLE INTERNATIONAL CORP	55.274	$208.74	$11,537.89	$9,323.26
25459W102	DIREXION SHS ETF TR TECHNOLOGY BULL 3X	806.379	$86.23	$69,534.06	$42,761.83
26433C105	DUFF & PHELPS GLOBAL UTIL INCOME FD COM	840.756	$14.43	$12,132.11	$11,106.28
26922A289	ETF SER SOLUTIONS DEFIANCE NEXT	180.976	$41.70	$7,546.70	$6,510.35
26923G822	ETFIS SER TR I VIRTUS INFRCAP	177.670	$25.12	$4,463.07	$3,270.23
26924G102	ETF MANAGERS TR PUREFUNDS ISE JR	200.000	$12.48	$2,496.00	$3,403.00
269808101	EAGLE POINT CREDIT CO LLC COM USD0.001	310.592	$14.00	$4,348.29	$4,134.00
29670E107	ESSENTIAL PPTYS RLTY TR INC COM	240.756	$28.83	$6,941.00	$3,694.59
301505889	EXCHANGE TRADED CONCEPTS TR EMQQ EM	411.000	$42.90	$17,631.90	$29,945.09
313747206	FEDERAL REALTY INVST TR SH BEN INT NEW	52.150	$136.32	$7,109.09	$3,585.02
316092204	* FIDELITY MSCI CONSUMER	72.843	$88.28	$6,430.58	$5,835.43
316092402	FIDELITY MSCI ENERGY INDEX ETF	3,728.801	$15.18	$56,603.20	$56,785.23
316092808	* FIDELITY MSCI INFORMATION	408.812	$135.40	$55,353.14	$27,240.34
33733E302	FIRST TR EXCHANGE TRADED FD DOW JONES	124.000	$226.13	$28,040.12	$27,637.93
33733E500	FIRST TR EXCHANGE TRADED FD	116.012	$67.97	$7,885.34	$9,905.03
33734X192	FIRST TR EXCHANGE TRADED FD II ISE	300.332	$104.31	$31,327.63	$30,089.46
33734X846	FIRST TR EXCHANGE TRADED FD II NASDAQ	505.011	$52.79	$26,659.53	$23,067.49
35086T109	FOUR CORNERS PPTY TR INC COM	64.268	$29.41	$1,890.12	$1,440.43

SUMMARY OF NET TRUST ASSETS

TOTAL PLAN ASSETS AS OF 12/31/2021

CUSIP #	SECURITY DESCRIPTION	SHARE BALANCE	PRICE	TOTAL MARKET VALUE	HISTORICAL COST
35473P819	FRANKLIN TEMPLETON ETF TR FTSE CHINA	10.000	$24.82	$248.20	$252.25
376546107	GLADSTONE INVT CORP	46.000	$17.08	$785.68	$672.52
37954A204	GLOBAL MEDICAL REIT INC USD0.001	344.797	$17.75	$6,120.15	$3,148.45
37954Y871	GLOBAL X FDS GLOBAL X URANIUM	35.000	$22.82	$798.70	$870.08
G31067120	SCION TECH GROWTH I UNIT EXP 121725	50.000	$9.92	$496.00	$540.00
00214Q104	ARK ETF TR INNOVATION ETF	69.921	$94.59	$6,613.83	$9,297.41
00214Q302	ARK ETF TR GENOMIC REVOLUTION MULTI	112.981	$61.24	$6,918.96	$7,956.08
00214Q401	ARK ETF TR WEB X.0 ETF	50.000	$118.58	$5,929.00	$8,534.25
02083X103	ALPINE INCOME PPTY TR INC COM	227.973	$20.04	$4,568.58	$3,102.14
035710409	ANNALY MORTGAGE MANAGEMENT INC	483.946	$7.82	$3,784.46	$4,103.83
038923108	ARBOR RLTY TR INC	432.051	$18.32	$7,915.17	$3,714.76
063679872	BMO REX MICROSECTORS FANG IN	915.000	$37.53	$34,339.95	$36,474.93
06738C794	BARCLAYS BK PLC IPATH INDEX LKD SECS	1,430.000	$16.73	$23,923.90	$19,004.70
06746P613	BARCLAYS BANK PLC IPATH B MID TRM	311.789	$25.73	$8,022.33	$8,144.23
09255P107	BLACKROCK CORPORATE HIGH YIELD FD VI INC	475.717	$12.34	$5,870.35	$5,392.42
09259E108	BLACKROCK TCP CAP CORP COM	111.955	$13.51	$1,512.51	$1,141.28
09260K101	BLACKROCK SCIENCE &TECH TR II SHS BEN	665.027	$38.94	$25,896.15	$24,820.08
101121101	BOSTON PPTYS INC	34.685	$115.18	$3,995.02	$2,959.56
140501107	CAPITAL SOUTHWEST CORP	167.323	$25.28	$4,229.93	$4,241.41
98149E204	WORLD GOLD TR SPDR GLD MINIS	1,452.000	$18.18	$26,397.36	$23,025.71
92936U109	W P CAREY INC COM	78.269	$82.05	$6,421.97	$4,574.86
95766A101	WESTERN ASSET EMERGING MKTS DEBT	393.017	$12.80	$5,030.62	$5,397.82
97717W125	WISDOMTREE TR MANAGED FUTURES	345.262	$35.44	$12,236.09	$13,937.77
98400T106	XAI OCTAGON FLOATNG RATE ALTER COM	471.160	$8.92	$4,202.75	$4,134.69
92189F106	VANECK VECTORS ETF TR GOLD MINERS ETF	251.139	$32.03	$8,043.98	$9,606.64
870297801	SWEDISH EXPT CR CORP ELEMENTS LKD ROGERS	3,960.000	$6.91	$27,363.60	$22,294.80
879105104	TEKLA HEALTHCARE OPPORTUNIT FD SHS	250.997	$25.64	$6,435.56	$5,271.62
87911J103	TEKLA HEALTHCARE INVS SH BEN INT	651.277	$23.76	$15,474.34	$16,246.60
92189F379	VANECK VECTORS ETF TR CHINAAMC CHINA B	1,464.000	$24.68	$36,131.52	$36,021.72
92189F676	VANECK VECTORS ETF TR SEMICONDUCTOR ET	30.000	$308.79	$9,263.70	$9,285.00
921946406	VANGUARD WHITEHALL FDS HIGH DIVIDEND	128.088	$112.11	$14,359.95	$14,056.82
92206C409	VANGUARD SCOTTSDALE FDS VANGUARD SHORT	315.000	$81.26	$25,596.90	$25,946.61
92206C623	VANGUARD SCOTTSDALE FDS VANGUARD RUSSELL	402.220	$213.32	$85,801.57	$92,200.42
92276F100	VENTAS INC	232.634	$51.12	$11,892.25	$7,432.41
922908363	VANGUARD INDEX FDS FORMERLY VANGUARD	844.211	$436.57	$368,557.20	$264,703.67
922908595	VANGUARD INDEX FDS VANGUARD SMALL CAP	101.313	$281.79	$28,548.99	$28,821.09
922908652	VANGUARD INDEX TR VANGUARD EXTENDED	505.705	$182.86	$92,473.22	$89,335.92
922908736	VANGUARD INDEX FDS VANGUARD GROWTH	56.272	$320.90	$18,057.68	$14,829.67
922908769	VANGUARD INDEX TR VANGUARD TOTAL STK	79.853	$241.44	$19,279.71	$15,056.16
925652109	CAESARS OPER ESCROW LLC	134.841	$30.11	$4,060.06	$2,928.43
46432F842	ISHARES TRUST CORE MSCI EAFE ETF	855.000	$74.64	$63,817.20	$56,826.12
85571B105	STARWOOD PPTY TR INC COM	181.028	$24.30	$4,398.98	$2,810.72
46429B697	ISHARES TRUST MSCI USA MINIMUM	76.049	$80.90	$6,152.36	$5,103.65
46429B747	ISHARES TR BARCLAYS 0-5 YR TIPS	941.827	$105.88	$99,720.64	$98,809.11
46432F859	ISHARES TRUST CORE SHORT-TERM US BD ETF	460.000	$50.43	$23,197.80	$23,577.60
46434VAX8	ISHARES IBONDS DEC 2023 TERM	3,895.191	$25.67	$99,989.55	$100,667.21
46435U150	ISHARES TR IBONDS 23 TRM HG	3,000.000	$24.41	$73,229.70	$72,997.31
46641Q332	J P MORGAN EXCHANGE-TRADED FD	425.000	$63.19	$26,855.75	$25,511.22
502175102	LTC PPTYS INC	144.023	$34.14	$4,916.95	$4,710.49
505743104	LADDER CAPITAL CORP COM USD0.001 CL A	731.769	$11.99	$8,773.91	$5,659.91
53656F789	LISTED FD TR ROUNDHILL SPORTS	33.771	$24.83	$838.53	$1,089.97
637417106	NATIONAL RETAIL PPTYS INC COM	110.874	$48.07	$5,329.71	$3,123.97
67110P704	OSI ETF TR OSHS GBL INTER	150.000	$49.23	$7,384.50	$9,060.00
681936100	OMEGA HEALTHCARE INVS INC	77.648	$29.59	$2,297.60	$1,970.67
69121K104	OWL ROCK CAPITAL CORPORATION COM	282.840	$14.16	$4,005.01	$4,085.84
691543102	OXFORD LANE CAP CORP	572.258	$7.71	$4,412.11	$4,150.99
700517105	PARK HOTELS RESORTS INC COM	100.000	$18.88	$1,888.00	$1,700.00
71943U104	PHYSICIANS REALTY TRUST COM USD0.01	100.354	$18.83	$1,889.67	$1,504.33

SUMMARY OF NET TRUST ASSETS

TOTAL PLAN ASSETS AS OF 12/31/2021

CUSIP #	SECURITY DESCRIPTION	SHARE BALANCE	PRICE	TOTAL MARKET VALUE	HISTORICAL COST
72201R775	PIMCO ETF TRUST TOTAL RETURN	150.000	$109.41	$16,411.50	$16,540.58
72201Y101	PIMCO DYNAMIC INCOME FD COM USD0.00001	154.381	$25.91	$4,000.01	$4,128.50
74347B383	PROSHARES TR ULTRASHRT S&P500	13,000.000	$7.06	$91,780.00	$20,640.00
74347G861	PROSHARES ULTRAPRO SHORT QQQ	7.000	$5.94	$41.58	$129.45
74347R206	PROSHARES TR ULTRA QQQ PROSHARES	5,002.164	$89.02	$445,292.64	$122,190.12
74347X799	PROSHARES TR ULTRAPRO RUSSELL2000	110.002	$101.12	$11,123.40	$9,816.98
74347X831	PROSHARES TR ULTRAPRO QQQ	1,968.772	$166.33	$327,465.85	$169,392.80
74347X864	PROSHARES TR PROSHARES ULTRAPRO	35.019	$152.56	$5,342.50	$3,486.05
756109104	REALTY INCOME CORP (MARYLAND)	90.029	$71.59	$6,445.18	$4,533.79
78440X804	SL GREEN RLTY CORP COM	65.928	$71.70	$4,727.04	$3,221.17
78462F103	S & P 500 DEPOSITORY RECEIPT	563.528	$474.96	$267,653.26	$201,437.28
78463V107	SPDR GOLD TR GOLD SHS	17.352	$170.96	$2,966.50	$2,919.20
78463X509	SPDR INDEX SHS FDS S&P EMERGING MKTS	304.164	$41.49	$12,619.76	$13,494.78
78463X889	SPDR INDEX SHS FDS S&P WORLD EX US ETF	401.872	$36.48	$14,660.29	$14,792.75
78464A474	SPDR SER TR SPDR SPDR BARCLAYS	3,286.783	$30.97	$101,791.67	$102,428.51
78464A649	SPDR SER TR LEHMAN AGGREGATE BD	30.979	$29.62	$917.60	$919.24
78464A698	SPDR SER TR KBW REGL BKG ETF	175.800	$70.85	$12,455.43	$12,419.48
78464A763	SPDR SER TR S&P DIVID ETF	102.138	$129.12	$13,188.06	$12,781.11
78573L106	SABRA HEALTH CARE REIT INC COM USD0.01	76.821	$13.54	$1,040.16	$1,329.26
808524508	SCHWAB STRATEGIC TR US MID-CAP ETF	343.213	$80.43	$27,604.62	$26,908.71
808524607	SCHWAB STRATEGIC TR US SMALL-CAP ETF	101.208	$102.40	$10,363.70	$9,758.73
81369Y209	SECTOR SPDR TR SHS BEN INT CONSUMER	132.935	$140.89	$18,729.21	$15,172.02
81369Y506	SECTOR SPDR TR SHS BEN INT ENERGY	59.156	$55.50	$3,283.16	$2,987.07
81369Y605	SECTOR SPDR TR SHS BEN INT FINANCIAL	646.317	$39.05	$25,238.68	$24,048.40
81369Y803	SECTOR SPDR TR SHS BEN INT TECHNOLOGY	20.000	$173.87	$3,477.40	$3,351.07
			NET ASSETS :	$12,491,615.90	