

<b>Robinhood Securities LLC</b> 500 Colonial Center Parkway Suite 100 Lake Mary, FL 32746 Customer Service: 650-940-2700  PAYER'S TIN: 38-4019216	<b>Tax Information</b> <b>Account 748731775</b>	Statement Date: 02/14/2021 Document ID: 4BCB 0R4 BUJK	2020
	Yaswant krishna Aravapalli 523 Plainfield Ave Edison, NJ 08817  RECIPIENT'S TIN: XXX-XX-1371		

**Summary Information**

<p><b>DIVIDENDS AND DISTRIBUTIONS</b>      <b>2020 1099-DIV*</b>      OMB No. 1545-0110</p> <p>1a- Total ordinary dividends (includes lines 1b, 5)      3.27</p> <p>1b- Qualified dividends      3.27</p> <p>2a- Total capital gain distributions (includes lines 2b, 2c, 2d)      0.00</p> <p>2b- Unrecaptured Section 1250 gain      0.00</p> <p>2c- Section 1202 gain      0.00</p> <p>2d- Collectibles (28%) gain      0.00</p> <p>3- Nondividend distributions      0.00</p> <p><b>4- Federal income tax withheld</b>      <b>0.00</b></p> <p>5- Section 199A dividends      0.00</p> <p>6- Investment expenses      0.00</p> <p>8- Foreign country or US possession:      0.00</p> <p>7- Foreign tax paid:      0.00</p> <p>9- Cash liquidation distributions      0.00</p> <p>10- Noncash liquidation distributions      0.00</p> <p>11- Exempt-interest dividends (includes line 12)      0.00</p> <p>12- Specified private activity bond interest dividends (AMT)      0.00</p>	<p><b>MISCELLANEOUS INCOME</b>      <b>2020 1099-MISC*</b>      OMB No. 1545-0115</p> <p>2- Royalties      0.00</p> <p>3- Other income      0.00</p> <p><b>4- Federal income tax withheld</b>      <b>0.00</b></p> <p>8- Substitute payments in lieu of dividends or interest      0.00</p> <p><b>SECTION 1256 CONTRACTS</b>      <b>2020 1099-B*</b>      OMB No. 1545-0715</p> <p>8- Profit or (loss) realized in 2020 on closed contracts      0.00</p> <p>9- Unrealized profit or (loss) on open contracts-12/31/2019      0.00</p> <p>10- Unrealized profit or (loss) on open contracts-12/31/2020      0.00</p> <p>11- Aggregate profit or (loss) on contracts      0.00</p> <p style="text-align: center;"><i>If applicable, proceeds from sale transactions appear summarized below and are detailed in subsequent sections of this document.</i></p>
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**SUMMARY OF PROCEEDS, GAINS & LOSSES, ADJUSTMENTS AND WITHHOLDING**

*Refer to the 1099-B and Proceeds not reported to the IRS pages to ensure that you consider all relevant items and to determine the correct gains and losses. The amounts shown below are for informational purposes.*

Term	Form 8949 type	Proceeds	Cost basis	Market discount	Wash sale loss disallowed	Net gain or loss(-)
Short	A (basis reported to the IRS)	47,159.21	53,844.27	0.00	4,107.64	-2,577.42
Short	B (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Short	C (Form 1099-B not received)	6.50	57.02	0.00	0.00	-50.52
	<b>Total Short-term</b>	<b>47,165.71</b>	<b>53,901.29</b>	<b>0.00</b>	<b>4,107.64</b>	<b>-2,627.94</b>
Long	D (basis reported to the IRS)	175.94	371.02	0.00	129.70	-65.38
Long	E (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Long	F (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
	<b>Total Long-term</b>	<b>175.94</b>	<b>371.02</b>	<b>0.00</b>	<b>129.70</b>	<b>-65.38</b>
Undetermined	B or E (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Undetermined	C or F (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
	<b>Total Undetermined-term</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
	<b>Grand total</b>	<b>47,341.65</b>	<b>54,272.31</b>	<b>0.00</b>	<b>4,237.34</b>	<b>-2,693.32</b>
<b>Withholding</b>		<b>Amount</b>				
	Federal income tax withheld	0.00				

Changes to dividend tax classifications processed after your original tax form is issued for 2020 may require an amended tax form.

Robinhood Securities LLC

Account 748731775

**Summary Information**

2020

(continued)

02/14/2021

**INTEREST INCOME**

**2020 1099-INT**

OMB No. 1545-0112

**This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.**

1- Interest income (not included in line 3)	0.00
2- Early withdrawal penalty	0.00
3- Interest on US Savings Bonds & Treasury obligations	0.00
<b>4- Federal income tax withheld</b>	<b>0.00</b>
5- Investment expenses	0.00
7- Foreign country or US possession: 6- Foreign tax paid:	0.00
8- Tax-exempt interest (includes line 9)	0.00
9- Specified private activity bond interest (AMT)	0.00
10- Market discount (covered lots)	0.00
11- Bond premium (covered lots)	0.00
12- Bond premium on Treasury obligations (covered lots)	0.00
13- Bond premium on tax-exempt bonds (categorized below)	0.00
<i>Tax-exempt obligations (covered lots)</i>	0.00
<i>Tax-exempt private activity obligations (AMT, covered lots)</i>	0.00
14- Tax-exempt and tax credit bond CUSIP number	

*The following amounts are not reported to the IRS. They are presented here for your reference when preparing your tax return(s).*

Taxable accrued interest paid	0.00
Taxable accrued Treasury interest paid	0.00
Tax-exempt accrued interest paid	0.00
Tax-exempt accrued interest paid (AMT)	0.00
Taxable accrued nonqualified interest paid	0.00
Tax-exempt accrued nonqualified interest paid	0.00
Tax-exempt accrued nonqualified interest paid (AMT)	0.00
Nonqualified interest	0.00
Tax-exempt nonqualified interest	0.00
Tax-exempt nonqualified interest (AMT)	0.00
Interest shortfall on contingent payment debt	0.00
Bond premium- Non Treasury obligations (noncovered lots)	0.00
Bond premium- Treasury obligations (noncovered lots)	0.00
Bond premium- Tax-exempt obligations (noncovered lots)	0.00
Bond premium- Tax-exempt obligations (AMT, noncovered lots)	0.00
Market discount (noncovered lots)	0.00

**STATE TAX WITHHELD**

*Use the details of the State Tax Withholding page(s) to determine the appropriate amounts for your income tax return(s). The amounts shown in this section are for your reference.*

1099-DIV total withheld	0.00
1099-INT total withheld	0.00
1099-OID total withheld	0.00
1099-MISC total withheld	0.00
1099-B total withheld	0.00

**ORIGINAL ISSUE DISCOUNT AND ADJUSTMENTS**

*Use bond-by-bond details from the Form 1099-OID page(s) to determine amounts of Original Issue Discount income for your income tax return(s). The amounts shown in this section are for your reference when preparing your income tax return(s).*

Original issue discount for the year	0.00
Acquisition premium (covered lots)	0.00
Acquisition premium (noncovered lots)	0.00
Original issue discount on Treasury obligations	0.00
Acquisition premium, Treasury obligations (covered lots)	0.00
Acquisition premium, Treasury obligations (noncovered lots)	0.00
Tax-exempt OID	0.00
Tax-exempt OID (lots not reported)	0.00
Acquisition premium (covered)	0.00
Acquisition premium (lots not reported)	0.00
Tax-exempt OID on private activity bonds	0.00
Tax-exempt OID on private activity bonds (lots not reported)	0.00
Acquisition premium (AMT, covered)	0.00
Acquisition premium (AMT, lots not reported)	0.00
Market discount (all lots)	0.00
Early withdrawal penalty	0.00
Investment expenses	0.00

**RECONCILIATIONS, FEES, EXPENSES AND EXPENDITURES**

*The amounts in this section are not reported to the IRS. They are presented here for your reference when preparing your income tax return(s).*

Other Receipts & Reconciliations- Partnership distributions	0.00
Other Receipts & Reconciliations- Foreign tax paid- partnership	0.00
Other Receipts & Reconciliations- Return of principal	0.00
Other Receipts & Reconciliations- Deferred income payment	0.00
Other Receipts & Reconciliations- Deemed premium	0.00
Other Receipts & Reconciliations- Income accrual- UIT	0.00
Other Receipts & Reconciliations- Basis adjustments	0.00
Other Receipts & Reconciliations- Foreign tax pd beyond treaty	0.00
Fees & Expenses- Margin interest	25.00
Fees & Expenses- Dividends paid on short position	0.00
Fees & Expenses- Interest paid on short position	0.00
Fees & Expenses- Non reportable distribution expense	0.00
Fees & Expenses- Other expenses	0.00
Fees & Expenses- Severance tax	0.00
Fees & Expenses- Organizational expense	0.00
Fees & Expenses- Miscellaneous fees	0.00
Fees & Expenses- Tax-exempt investment expense	0.00
Foreign Exchange Gains & Losses- Foreign currency gain/loss	0.00

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**Proceeds from Broker and Barter Exchange Transactions**

2020 1099-B\* OMB No. 1545-0715

02/14/2021

Sales transactions are organized into sections according to term (long, short or undetermined) and covered status (covered or noncovered). For tax lots whose term is undetermined, use your historical documents to establish the cost basis and date of purchase. The Box 12, basis is reported to the IRS indicator checkmark, is reflected as being checked in the title of the covered securities pages of Forms 1099-B, short-term and long-term. The title pages of the noncovered securities pages for Forms 1099-B reflect that Box 12 is not being checked, as these securities are not being reported to the IRS.

Several columns include both an amount and a qualifying notation to its right. Where proceeds are the result of an option exercise or assignment, there is indication of whether the amount is N (net of option premium) or G (Gross). Accrued market discount and wash sale loss disallowed appear in the same column, identified by the letters D or W, respectively. Where you are not permitted to recognize a loss, an indication of X (change in control or capital structure) or Z (other corporate action) is used. The change in control condition is reported to the IRS for covered lots. Neither the disallowance of loss due to a corporate action nor the amount of gain or loss is reported to the IRS in any instance.

Some tax lots may have notations in the column of Additional Information because they require special treatment on your tax returns. Sales of securities such as Contingent Payment Debt Instruments (CPDI) are marked as "Ordinary" because gains and losses on these instruments generally do not qualify as short- or long-term capital transactions. Similarly, lots noted as "3 - [X] Collectible" are handled distinctly under the tax code. These conditions are reported to the IRS. You may wish to consult with your tax advisor, the IRS or your state tax authority regarding the proper treatment for these scenarios. With further regard to Box 3, there is also a checkmark to indicate the proceeds of sale are from a Qualified Opportunity Zone Fund investment - a QOF. If the proceeds are from a QOF the Additional Information column will reflect the following - "3 - [X] Proceeds from QOF." The tax treatment for QOF investments can be complex and you may wish to consult your tax advisor about such sales.

Closing of written options is presented in a distinct manner in accordance with IRS regulation. For these transactions the Cost or other basis (column 1e) is always presented as \$0.00 and the Proceeds (column 1d) is the net of the amount received when the option was written and the cost to close the position.

FATCA filing requirement [ ]

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5)**

Report on Form 8949, Part I with Box A checked. Basis is provided to the IRS. (Line 12)

"Gain or loss (-)" is NOT reported to the IRS.

**1a- Description of property/CUSIP/Symbol**

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
AA 09/04/2020 CALL \$15.50 / CUSIP: / Symbol:							
08/28/20	1.000	31.98	08/27/20	24.00	...	7.98	Option sale to close-call <sup>25</sup>
AAL 12/18/2020 CALL \$15.00 / CUSIP: / Symbol:							
11/23/20	4.000	107.98	11/20/20	96.00	...	11.98	Option sale to close-call <sup>25</sup>
AAPL 01/15/2021 PUT \$90.00 / CUSIP: / Symbol:							
11/03/20	1.000	149.98	11/02/20	193.00	...	-43.02	Option sale to close-put <sup>25</sup>
AAPL 01/21/2022 CALL \$200.00 / CUSIP: / Symbol:							
12/08/20	1.000	319.98	12/07/20	315.00	...	4.98	Option sale to close-call <sup>25</sup>
AAPL 03/19/2021 CALL \$150.00 / CUSIP: / Symbol:							
12/10/20	1.000	215.98	12/09/20	211.00	...	4.98	Option sale to close-call <sup>25</sup>

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**Proceeds from Broker and Barter Exchange Transactions**

2020 1099-B\* OMB No. 1545-0715

(continued)

02/14/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5)**

Report on Form 8949, Part I with Box A checked. Basis is provided to the IRS. (Line 12)

"Gain or loss (-)" is NOT reported to the IRS.

**1a- Description of property/CUSIP/Symbol**

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
AAPL 09/04/2020 CALL \$132.50 / CUSIP: / Symbol:							
2 transactions for 09/01/20. Total proceeds and cost reported to the IRS.							
	1.000	219.99	08/31/20	184.00	...	35.99	1 of 2 - Option sale to close-call <sup>25</sup>
	1.000	219.99	08/31/20	166.00	...	53.99	2 of 2 - Option sale to close-call <sup>25</sup>
09/01/20	2.000	439.98	Various	350.00	...	89.98	Total of 2 transactions
AAPL 09/04/2020 CALL \$136.25 / CUSIP: / Symbol:							
09/02/20	1.000	199.98	09/01/20	157.00	...	42.98	Option sale to close-call <sup>25</sup>
AAPL 09/04/2020 PUT \$120.00 / CUSIP: / Symbol:							
09/04/20	1.000	204.98	09/03/20	176.00	...	28.98	Option sale to close-put <sup>25</sup>
AAPL 09/11/2020 CALL \$137.50 / CUSIP: / Symbol:							
3 transactions for 09/02/20. Total proceeds and cost reported to the IRS.							
	1.000	253.99	09/01/20	280.00	...	-26.01	1 of 3 - Option sale to close-call <sup>25</sup>
	1.000	253.99	09/02/20	254.00	...	-0.01	2 of 3 - Option sale to close-call <sup>25</sup>
	1.000	253.99	09/02/20	176.00	...	77.99	3 of 3 - Option sale to close-call <sup>25</sup>
09/02/20	3.000	761.97	Various	710.00	...	51.97	Total of 3 transactions
AAPL 09/11/2020 CALL \$138.75 / CUSIP: / Symbol:							
15 transactions for 09/11/20. Total proceeds and cost reported to the IRS.							
	1.000	0.00	09/02/20	222.00	...	-222.00	1 of 15 - Option expiration- long call
	1.000	0.00	09/03/20	121.00	...	-121.00	2 of 15 - Option expiration- long call
	1.000	0.00	09/03/20	70.00	...	-70.00	3 of 15 - Option expiration- long call
	1.000	0.00	09/04/20	25.00	...	-25.00	4 of 15 - Option expiration- long call
	1.000	0.00	09/04/20	25.00	...	-25.00	5 of 15 - Option expiration- long call
	1.000	0.00	09/04/20	25.00	...	-25.00	6 of 15 - Option expiration- long call
	2.000	0.00	09/08/20	52.00	...	-52.00	7 of 15 - Option expiration- long call

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**Proceeds from Broker and Barter Exchange Transactions**

2020 1099-B\* OMB No. 1545-0715

(continued)

02/14/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5)**

Report on Form 8949, Part I with Box A checked. Basis is provided to the IRS. (Line 12)

"Gain or loss (-)" is NOT reported to the IRS.

**1a- Description of property/CUSIP/Symbol**

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
AAPL 09/11/2020 CALL \$138.75 / CUSIP: / Symbol: (cont'd)							
	1.000	0.00	09/08/20	26.00	...	-26.00	8 of 15 - Option expiration- long call
	2.000	0.00	09/08/20	22.00	...	-22.00	9 of 15 - Option expiration- long call
	2.000	0.00	09/08/20	22.00	...	-22.00	10 of 15 - Option expiration- long call
	2.000	0.00	09/08/20	22.00	...	-22.00	11 of 15 - Option expiration- long call
	2.000	0.00	09/08/20	22.00	...	-22.00	12 of 15 - Option expiration- long call
	1.000	0.00	09/08/20	11.00	...	-11.00	13 of 15 - Option expiration- long call
	1.000	0.00	09/08/20	11.00	...	-11.00	14 of 15 - Option expiration- long call
	1.000	0.00	09/08/20	11.00	...	-11.00	15 of 15 - Option expiration- long call
09/11/20	20.000	0.00	Various	687.00	...	-687.00	Total of 15 transactions
AAPL 09/18/2020 CALL \$112.50 / CUSIP: / Symbol:							
09/14/20	1.000	399.98	09/11/20	297.00	...	102.98	Option sale to close-call <sup>25</sup>
AAPL 09/18/2020 CALL \$130.00 / CUSIP: / Symbol:							
09/04/20	1.000	154.98	09/04/20	116.00	...	38.98	Option sale to close-call <sup>25</sup>
AAPL 09/18/2020 PUT \$113.75 / CUSIP: / Symbol:							
09/09/20	1.000	244.98	09/08/20	515.00	...	-270.02	Option sale to close-put <sup>25</sup>
AAPL 09/25/2020 CALL \$112.50 / CUSIP: / Symbol:							
09/17/20	1.000	272.98	09/16/20	345.00	...	-72.02	Option sale to close-call <sup>25</sup>
AAPL 09/25/2020 PUT \$108.75 / CUSIP: / Symbol:							
2 transactions for 09/18/20. Total proceeds and cost reported to the IRS.							
	1.000	292.99	09/17/20	294.00	...	-1.01	1 of 2 - Option sale to close-put <sup>25</sup>
	1.000	292.98	09/18/20	247.00	...	45.98	2 of 2 - Option sale to close-put <sup>25</sup>
09/18/20	2.000	585.97	Various	541.00	...	44.97	Total of 2 transactions

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## Proceeds from Broker and Barter Exchange Transactions

2020 1099-B\* OMB No. 1545-0715

(continued)

02/14/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5)**

Report on Form 8949, Part I with Box A checked. Basis is provided to the IRS. (Line 12)

"Gain or loss (-)" is NOT reported to the IRS.

**1a- Description of property/CUSIP/Symbol**

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
AAPL 10/09/2020 PUT \$100.00 / CUSIP: / Symbol:							
09/28/20	1.000	35.98	09/25/20	78.00	...	-42.02	Option sale to close-put <sup>25</sup>
AAPL 10/09/2020 PUT \$113.75 / CUSIP: / Symbol:							
09/29/20	1.000	302.98	09/29/20	289.02	...	13.96	Option sale to close-put <sup>25</sup>
09/29/20	1.000	302.98	09/28/20	310.00	7.02 W	0.00	Option sale to close-put <sup>25</sup>
09/30/20	1.000	207.99	09/30/20	226.00	...	-18.01	Option sale to close-put <sup>25</sup>
09/30/20	1.000	207.99	09/29/20	312.00	104.01 W	0.00	Option sale to close-put <sup>25</sup>
10/02/20	1.000	290.98	10/02/20	361.01	...	-70.03	Option sale to close-put <sup>25</sup>
	<b>Security total:</b>	<b>1,312.92</b>		<b>1,498.03</b>	<b>111.03 W</b>	<b>-74.08</b>	
AAPL 10/09/2020 PUT \$116.25 / CUSIP: / Symbol:							
10/02/20	1.000	379.98	10/01/20	267.00	...	112.98	Option sale to close-put <sup>25</sup>
AAPL 10/23/2020 CALL \$117.00 / CUSIP: / Symbol:							
	4 transactions for 10/23/20. Total proceeds and cost reported to the IRS.						
	3.000	23.99	10/22/20	255.00	...	-231.01	1 of 4 - Option sale to close-call <sup>25</sup>
	2.000	15.99	10/22/20	94.00	...	-78.01	2 of 4 - Option sale to close-call <sup>25</sup>
	1.000	8.00	10/22/20	60.00	...	-52.00	3 of 4 - Option sale to close-call <sup>25</sup>
	1.000	8.00	10/22/20	60.00	...	-52.00	4 of 4 - Option sale to close-call <sup>25</sup>
10/23/20	7.000	55.98	Various	469.00	...	-413.02	Total of 4 transactions
AAPL 10/23/2020 CALL \$120.00 / CUSIP: / Symbol:							
10/14/20	1.000	374.98	10/14/20	320.00	...	54.98	Option sale to close-call <sup>25</sup>
AAPL 10/23/2020 CALL \$122.00 / CUSIP: / Symbol:							
	9 transactions for 10/20/20. Total proceeds and cost reported to the IRS.						
	1.000	41.00	10/20/20	427.02	...	-386.02	1 of 9 - Option sale to close-call <sup>25</sup>
	1.000	40.99	10/20/20	197.00	...	-156.01	2 of 9 - Option sale to close-call <sup>25</sup>
	1.000	40.99	10/20/20	170.00	...	-129.01	3 of 9 - Option sale to close-call <sup>25</sup>
	1.000	41.00	10/20/20	128.00	...	-87.00	4 of 9 - Option sale to close-call <sup>25</sup>
	2.000	81.98	10/20/20	164.01	...	-82.03	5 of 9 - Option sale to close-call <sup>25</sup>
	1.000	40.98	10/20/20	46.01	...	-5.03	6 of 9 - Option sale to close-call <sup>25</sup>
	1.000	40.98	10/20/20	46.00	...	-5.02	7 of 9 - Option sale to close-call <sup>25</sup>
	1.000	40.99	10/20/20	34.00	...	6.99	8 of 9 - Option sale to close-call <sup>25</sup>

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2020 1099-B\* OMB No. 1545-0715

(continued)

02/14/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5)**

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**1a- Description of property/CUSIP/Symbol**

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
AAPL 10/23/2020 CALL \$122.00 / CUSIP: / Symbol: (cont'd)							
	1.000	41.00	10/20/20	34.00	...	7.00	9 of 9 - Option sale to close-call <sup>25</sup>
10/20/20	10.000	409.91	Various	1,246.04	...	-836.13	Total of 9 transactions
7 transactions for 10/20/20. Total proceeds and cost reported to the IRS.							
	1.000	40.98	10/14/20	272.00	231.02 W	0.00	1 of 7 - Option sale to close-call <sup>25</sup>
	1.000	41.00	10/15/20	434.02	393.02 W	0.00	2 of 7 - Option sale to close-call <sup>25</sup>
	1.000	41.00	10/16/20	204.00	163.00 W	0.00	3 of 7 - Option sale to close-call <sup>25</sup>
	1.000	41.00	10/16/20	177.00	136.00 W	0.00	4 of 7 - Option sale to close-call <sup>25</sup>
	1.000	41.00	10/16/20	135.00	94.00 W	0.00	5 of 7 - Option sale to close-call <sup>25</sup>
	3.000	122.99	10/19/20	159.00	24.01 W	-12.00	6 of 7 - Option sale to close-call <sup>25</sup>
	2.000	81.99	10/19/20	178.00	96.01 W	0.00	7 of 7 - Option sale to close-call <sup>25</sup>
10/20/20	10.000	409.96	Various	1,559.02	1,137.06 W	-12.00	Total of 7 transactions
<b>Security total:</b>		<b>819.87</b>		<b>2,805.06</b>	<b>1,137.06 W</b>	<b>-848.13</b>	
AAPL 10/23/2020 CALL \$124.00 / CUSIP: / Symbol:							
2 transactions for 10/13/20. Total proceeds and cost reported to the IRS.							
	1.000	454.97	10/12/20	428.00	...	26.97	1 of 2 - Option sale to close-call <sup>25</sup>
10/13/20	1.000	379.98	10/13/20	330.00	...	49.98	2 of 2 - Option sale to close-call <sup>25</sup>
	2.000	834.95	Various	758.00	...	76.95	Total of 2 transactions
AAPL 10/30/2020 CALL \$115.00 / CUSIP: / Symbol:							
10/26/20	1.000	354.98	10/23/20	335.00	...	19.98	Option sale to close-call <sup>25</sup>
AAPL 10/30/2020 CALL \$117.00 / CUSIP: / Symbol:							
3 transactions for 10/28/20. Total proceeds and cost reported to the IRS.							
	1.000	130.99	10/27/20	289.00	...	-158.01	1 of 3 - Option sale to close-call <sup>25</sup>
	1.000	131.00	10/28/20	216.00	...	-85.00	2 of 3 - Option sale to close-call <sup>25</sup>
	1.000	130.99	10/28/20	155.00	...	-24.01	3 of 3 - Option sale to close-call <sup>25</sup>
10/28/20	3.000	392.98	Various	660.00	...	-267.02	Total of 3 transactions
AAPL 10/30/2020 CALL \$125.00 / CUSIP: / Symbol:							
7 transactions for 10/28/20. Total proceeds and cost reported to the IRS.							
	1.000	25.98	10/28/20	23.00	...	2.98	1 of 7 - Option sale to close-call <sup>25</sup>
	1.000	25.98	10/28/20	23.00	...	2.98	2 of 7 - Option sale to close-call <sup>25</sup>
	1.000	25.98	10/28/20	23.00	...	2.98	3 of 7 - Option sale to close-call <sup>25</sup>

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Robinhood Securities LLC

Account 748731775

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B\* OMB No. 1545-0715

(continued)

02/14/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5)**

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**1a- Description of property/CUSIP/Symbol**

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
AAPL 10/30/2020 CALL \$125.00 / CUSIP: / Symbol: (cont'd)							
	1.000	25.98	10/28/20	23.00	...	2.98	4 of 7 - Option sale to close-call <sup>25</sup>
	2.000	51.98	10/28/20	46.00	...	5.98	5 of 7 - Option sale to close-call <sup>25</sup>
	2.000	51.98	10/28/20	46.00	...	5.98	6 of 7 - Option sale to close-call <sup>25</sup>
	2.000	51.98	10/28/20	46.00	...	5.98	7 of 7 - Option sale to close-call <sup>25</sup>
10/28/20	10.000	259.86	Various	230.00	...	29.86	Total of 7 transactions
AAPL 11/06/2020 CALL \$125.00 / CUSIP: / Symbol:							
10/29/20	2.000	193.98	10/28/20	176.00	...	17.98	Option sale to close-call <sup>25</sup>
AAPL 11/06/2020 PUT \$100.00 / CUSIP: / Symbol:							
2 transactions for 11/02/20. Total proceeds and cost reported to the IRS.							
	1.000	54.99	10/30/20	63.00	...	-8.01	1 of 2 - Option sale to close-put <sup>25</sup>
	1.000	54.99	11/02/20	37.00	...	17.99	2 of 2 - Option sale to close-put <sup>25</sup>
11/02/20	2.000	109.98	Various	100.00	...	9.98	Total of 2 transactions
AAPL 11/20/2020 CALL \$165.00 / CUSIP: / Symbol:							
09/11/20	1.000	68.98	09/08/20	142.00	73.02 W	0.00	Option sale to close-call <sup>25</sup>
09/14/20	1.000	84.98	09/10/20	175.02	...	-90.04	Option sale to close-call <sup>25</sup>
	<b>Security total:</b>	<b>153.96</b>		<b>317.02</b>	<b>73.02 W</b>	<b>-90.04</b>	
AAPL 11/20/2020 PUT \$110.00 / CUSIP: / Symbol:							
11/05/20	1.000	112.98	11/05/20	93.00	...	19.98	Option sale to close-put <sup>25</sup>
AAPL 11/20/2020 PUT \$119.00 / CUSIP: / Symbol:							
11/12/20	1.000	190.98	11/12/20	214.00	...	-23.02	Option sale to close-put <sup>25</sup>
AAPL 11/27/2020 CALL \$117.00 / CUSIP: / Symbol:							
11/23/20	2.000	121.98	11/23/20	122.00	...	-0.02	Option sale to close-call <sup>25</sup>
AAPL 12/11/2020 PUT \$120.00 / CUSIP: / Symbol:							
12/04/20	1.000	113.98	12/04/20	103.00	...	10.98	Option sale to close-put <sup>25</sup>
AAPL 12/11/2020 PUT \$122.00 / CUSIP: / Symbol:							
12/02/20	1.000	244.98	12/01/20	234.00	...	10.98	Option sale to close-put <sup>25</sup>
4 transactions for 12/07/20. Total proceeds and cost reported to the IRS.							
	1.000	94.98	12/04/20	186.00	91.02 W	0.00	1 of 4 - Option sale to close-put <sup>25</sup>

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Robinhood Securities LLC

Account 748731775

## Proceeds from Broker and Barter Exchange Transactions

2020 1099-B\* OMB No. 1545-0715

(continued)

02/14/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column]** (Lines 2 & 5)

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AAPL 12/11/2020 PUT \$122.00 / CUSIP: / Symbol: (cont'd)							
	1.000	94.99	12/07/20	234.02	139.03 W	0.00	2 of 4 - Option sale to close-put <sup>25</sup>
	1.000	94.99	12/07/20	123.00	28.01 W	0.00	3 of 4 - Option sale to close-put <sup>25</sup>
	1.000	94.98	12/07/20	227.03	132.05 W	0.00	4 of 4 - Option sale to close-put <sup>25</sup>
12/07/20	4.000	379.94	Various	770.05	390.11 W	0.00	Total of 4 transactions
3 transactions for 12/08/20. Total proceeds and cost reported to the IRS.							
	1.000	86.99	12/07/20	210.05	...	-123.06	1 of 3 - Option sale to close-put <sup>25</sup>
	1.000	87.00	12/07/20	106.01	...	-19.01	2 of 3 - Option sale to close-put <sup>25</sup>
	1.000	86.99	12/07/20	85.00	...	1.99	3 of 3 - Option sale to close-put <sup>25</sup>
12/08/20	3.000	260.98	Various	401.06	...	-140.08	Total of 3 transactions
<b>Security total:</b>		<b>885.90</b>		<b>1,405.11</b>	<b>390.11 W</b>	<b>-129.10</b>	
AAPL 12/24/2020 PUT \$122.00 / CUSIP: / Symbol:							
12/14/20	3.000	761.97	12/14/20	756.00	...	5.97	Option sale to close-put <sup>25</sup>
AAPL 12/24/2020 PUT \$128.00 / CUSIP: / Symbol:							
12/16/20	5.000	1,204.96	12/16/20	1,190.00	...	14.96	Option sale to close-put <sup>25</sup>
AMD 11/06/2020 CALL \$90.00 / CUSIP: / Symbol:							
9 transactions for 11/03/20. Total proceeds and cost reported to the IRS.							
	1.000	1.98	11/02/20	95.08	...	-93.10	1 of 9 - Option sale to close-call <sup>25</sup>
	1.000	1.98	11/02/20	17.03	...	-15.05	2 of 9 - Option sale to close-call <sup>25</sup>
	1.000	1.98	11/02/20	17.02	...	-15.04	3 of 9 - Option sale to close-call <sup>25</sup>
	1.000	1.98	11/02/20	17.02	...	-15.04	4 of 9 - Option sale to close-call <sup>25</sup>
	1.000	1.98	11/02/20	17.02	...	-15.04	5 of 9 - Option sale to close-call <sup>25</sup>
	1.000	1.98	11/02/20	14.01	...	-12.03	6 of 9 - Option sale to close-call <sup>25</sup>
	1.000	1.98	11/02/20	14.01	...	-12.03	7 of 9 - Option sale to close-call <sup>25</sup>
	1.000	1.98	11/02/20	14.00	...	-12.02	8 of 9 - Option sale to close-call <sup>25</sup>
	1.000	1.98	11/02/20	14.00	...	-12.02	9 of 9 - Option sale to close-call <sup>25</sup>
11/03/20	9.000	17.82	Various	219.19	...	-201.37	Total of 9 transactions
12 transactions for 11/03/20. Total proceeds and cost reported to the IRS.							
	1.000	1.98	10/27/20	40.00	38.02 W	0.00	1 of 12 - Option sale to close-call <sup>25</sup>
	1.000	1.98	10/28/20	61.02	59.04 W	0.00	2 of 12 - Option sale to close-call <sup>25</sup>

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Robinhood Securities LLC

Account 748731775

## Proceeds from Broker and Barter Exchange Transactions

2020 1099-B\* OMB No. 1545-0715

(continued)

02/14/2021

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AMD 11/06/2020 CALL \$90.00 / CUSIP: / Symbol: (cont'd)							
	1.000	1.98	10/29/20	72.04	70.06 W	0.00	3 of 12 - Option sale to close-call <sup>25</sup>
	1.000	2.00	10/29/20	83.06	81.06 W	0.00	4 of 12 - Option sale to close-call <sup>25</sup>
	4.000	7.99	10/29/20	52.00	44.01 W	0.00	5 of 12 - Option sale to close-call <sup>25</sup>
	1.000	1.99	10/29/20	12.00	10.01 W	0.00	6 of 12 - Option sale to close-call <sup>25</sup>
	3.000	5.99	10/29/20	36.00	30.01 W	0.00	7 of 12 - Option sale to close-call <sup>25</sup>
	1.000	1.98	10/29/20	93.06	91.08 W	0.00	8 of 12 - Option sale to close-call <sup>25</sup>
	1.000	1.98	11/02/20	15.00	13.02 W	0.00	9 of 12 - Option sale to close-call <sup>25</sup>
	1.000	1.98	11/02/20	15.00	13.02 W	0.00	10 of 12 - Option sale to close-call <sup>25</sup>
	1.000	1.98	11/02/20	15.01	13.03 W	0.00	11 of 12 - Option sale to close-call <sup>25</sup>
	1.000	1.98	11/02/20	15.00	13.02 W	0.00	12 of 12 - Option sale to close-call <sup>25</sup>
11/03/20	17.000	33.81	Various	509.19	475.38 W	0.00	Total of 12 transactions
	<b>Security total:</b>	<b>51.63</b>		<b>728.38</b>	<b>475.38 W</b>	<b>-201.37</b>	
AXP 09/11/2020 CALL \$100.00 / CUSIP: / Symbol:							
08/24/20	1.000	222.98	08/18/20	197.00	...	25.98	Option sale to close-call <sup>25</sup>
BA 09/04/2020 CALL \$175.00 / CUSIP: / Symbol:							
09/02/20	1.000	294.98	09/01/20	363.00	...	-68.02	Option sale to close-call <sup>25</sup>
BABA 01/15/2021 CALL \$250.00 / CUSIP: / Symbol:							
	2 transactions for 12/24/20. Total proceeds and cost reported to the IRS.						
	1.000	270.99	12/24/20	284.00	...	-13.01	1 of 2 - Option sale to close-call <sup>25</sup>
	1.000	270.98	12/24/20	267.00	...	3.98	2 of 2 - Option sale to close-call <sup>25</sup>
12/24/20	2.000	541.97	Various	551.00	...	-9.03	Total of 2 transactions

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Account 748731775

**Proceeds from Broker and Barter Exchange Transactions**

2020 1099-B\* OMB No. 1545-0715

(continued)

02/14/2021

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BABA 01/21/2022 CALL \$390.00 / CUSIP: / Symbol:							
12/29/20	1.000	549.97	12/24/20	540.00	...	9.97	Option sale to close-call <sup>25</sup>
BABA 03/19/2021 CALL \$350.00 / CUSIP: / Symbol:							
12/04/20	1.000	284.98	12/03/20	268.00	...	16.98	Option sale to close-call <sup>25</sup>
	2 transactions for 12/16/20. Total proceeds and cost reported to the IRS.						
	1.000	152.99	12/14/20	140.00	...	12.99	1 of 2 - Option sale to close-call <sup>25</sup>
	1.000	152.99	12/14/20	134.00	...	18.99	2 of 2 - Option sale to close-call <sup>25</sup>
12/16/20	2.000	305.98	Various	274.00	...	31.98	Total of 2 transactions
	3 transactions for 12/16/20. Total proceeds and cost reported to the IRS.						
	1.000	154.98	12/04/20	270.00	115.02 W	0.00	1 of 3 - Option sale to close-call <sup>25</sup>
	1.000	154.98	12/09/20	344.02	189.04 W	0.00	2 of 3 - Option sale to close-call <sup>25</sup>
	1.000	152.99	12/10/20	374.04	221.05 W	0.00	3 of 3 - Option sale to close-call <sup>25</sup>
12/16/20	3.000	462.95	Various	988.06	525.11 W	0.00	Total of 3 transactions
	2 transactions for 12/24/20. Total proceeds and cost reported to the IRS.						
	1.000	64.99	12/16/20	376.05	...	-311.06	1 of 2 - Option sale to close-call <sup>25</sup>
	1.000	64.99	12/22/20	122.00	...	-57.01	2 of 2 - Option sale to close-call <sup>25</sup>
12/24/20	2.000	129.98	Various	498.05	...	-368.07	Total of 2 transactions
	<b>Security total:</b>	<b>1,183.89</b>		<b>2,028.11</b>	<b>525.11 W</b>	<b>-319.11</b>	
BABA 09/18/2020 CALL \$330.00 / CUSIP: / Symbol:							
09/15/20	1.000	3.98	09/08/20	40.00	...	-36.02	Option sale to close-call <sup>25</sup>
BABA 11/27/2020 PUT \$267.50 / CUSIP: / Symbol:							
	2 transactions for 11/20/20. Total proceeds and cost reported to the IRS.						
	1.000	359.99	11/20/20	370.00	...	-10.01	1 of 2 - Option sale to close-put <sup>25</sup>
	1.000	359.98	11/20/20	340.00	...	19.98	2 of 2 - Option sale to close-put <sup>25</sup>
11/20/20	2.000	719.97	Various	710.00	...	9.97	Total of 2 transactions
BABA 12/18/2020 CALL \$260.00 / CUSIP: / Symbol:							
	2 transactions for 12/14/20. Total proceeds and cost reported to the IRS.						
	1.000	257.98	12/14/20	251.01	...	6.97	1 of 2 - Option sale to close-call <sup>25</sup>
	2.000	515.98	12/14/20	502.03	...	13.95	2 of 2 - Option sale to close-call <sup>25</sup>
12/14/20	3.000	773.96	Various	753.04	...	20.92	Total of 2 transactions

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Account 748731775

**Proceeds from Broker and Barter Exchange Transactions**

2020 1099-B\* OMB No. 1545-0715

(continued)

02/14/2021

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BABA 12/18/2020 CALL \$260.00 / CUSIP: / Symbol: (cont'd)							
2 transactions for 12/14/20. Total proceeds and cost reported to the IRS.							
	2.000	515.97	12/14/20	536.00	20.03 W	0.00	1 of 2 - Option sale to close-call <sup>25</sup>
	1.000	257.99	12/14/20	268.00	10.01 W	0.00	2 of 2 - Option sale to close-call <sup>25</sup>
12/14/20	3.000	773.96	Various	804.00	30.04 W	0.00	Total of 2 transactions
	<b>Security total:</b>	<b>1,547.92</b>		<b>1,557.04</b>	<b>30.04 W</b>	<b>20.92</b>	
BAC 10/09/2020 PUT \$25.00 / CUSIP: / Symbol:							
10/09/20	1.000	0.00	10/08/20	7.00	...	-7.00	Option expiration- long put
BAC 12/31/2020 PUT \$29.00 / CUSIP: / Symbol:							
12/21/20	3.000	83.98	12/21/20	78.00	...	5.98	Option sale to close-put <sup>25</sup>
CCL 09/04/2020 CALL \$16.00 / CUSIP: / Symbol:							
08/27/20	1.000	102.98	08/26/20	59.00	...	43.98	Option sale to close-call <sup>25</sup>
CCL 09/11/2020 CALL \$18.00 / CUSIP: / Symbol:							
09/03/20	1.000	119.98	08/31/20	51.00	...	68.98	Option sale to close-call <sup>25</sup>
DIS 08/21/2020 CALL \$135.00 / CUSIP: / Symbol:							
08/13/20	1.000	108.98	08/13/20	78.00	...	30.98	Option sale to close-call <sup>25</sup>
2 transactions for 08/21/20. Total proceeds and cost reported to the IRS.							
	1.000	0.00	08/13/20	75.00	...	-75.00	1 of 2 - Option expiration- long call
	1.000	0.00	08/13/20	75.00	...	-75.00	2 of 2 - Option expiration- long call
08/21/20	2.000	0.00	Various	150.00	...	-150.00	Total of 2 transactions
	<b>Security total:</b>	<b>108.98</b>		<b>228.00</b>	<b>...</b>	<b>-119.02</b>	
DKNG 09/18/2020 CALL \$45.00 / CUSIP: / Symbol:							
08/18/20	1.000	94.98	08/17/20	70.00	...	24.98	Option sale to close-call <sup>25</sup>
FB 01/15/2021 CALL \$400.00 / CUSIP: / Symbol:							
2 transactions for 11/04/20. Total proceeds and cost reported to the IRS.							
	1.000	51.99	10/30/20	50.00	...	1.99	1 of 2 - Option sale to close-call <sup>25</sup>
	1.000	51.99	11/04/20	52.00	...	-0.01	2 of 2 - Option sale to close-call <sup>25</sup>
11/04/20	2.000	103.98	Various	102.00	...	1.98	Total of 2 transactions

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Robinhood Securities LLC

Account 748731775

## Proceeds from Broker and Barter Exchange Transactions

2020 1099-B\* OMB No. 1545-0715

(continued)

02/14/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5)**

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1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
FB 08/14/2020 CALL \$275.00 / CUSIP: / Symbol:							
08/13/20	1.000	54.98	08/13/20	26.00	...	28.98	Option sale to close-call <sup>25</sup>
FEYE 08/28/2020 CALL \$15.50 / CUSIP: / Symbol:							
08/28/20	3.000	0.00	08/27/20	6.00	...	-6.00	Option expiration- long call
FEYE 11/20/2020 CALL \$15.00 / CUSIP: / Symbol:							
10/27/20	1.000	65.98	10/26/20	55.00	...	10.98	Option sale to close-call <sup>25</sup>
GLD 09/18/2020 CALL \$193.00 / CUSIP: / Symbol:							
08/25/20	1.000	137.98	08/24/20	0.00	...	137.98	Short sale closed- call <sup>25</sup> Option written: 08/19/20
GLD 09/18/2020 CALL \$197.00 / CUSIP: / Symbol:							
08/24/20	1.000	64.98	08/19/20	170.00	...	-105.02	Option sale to close-call <sup>25</sup>
GLD 09/18/2020 PUT \$192.00 / CUSIP: / Symbol:							
08/24/20	1.000	1,182.96	08/19/20	945.00	...	237.96	Option sale to close-put <sup>25</sup>
GLD 09/18/2020 PUT \$193.00 / CUSIP: / Symbol:							
08/25/20	1.000	-250.04	08/24/20	0.00	...	-250.04	Short sale closed- put <sup>25</sup> Option written: 08/19/20
IBM 01/21/2022 CALL \$150.00 / CUSIP: / Symbol:							
11/27/20	1.000	379.98	10/21/20	370.00	...	9.98	Option sale to close-call <sup>25</sup>
INO 11/20/2020 CALL \$14.00 / CUSIP: / Symbol:							
10/22/20	1.000	86.98	10/21/20	83.00	...	3.98	Option sale to close-call <sup>25</sup>
IOVA 09/18/2020 CALL \$35.00 / CUSIP: / Symbol:							
09/01/20	1.000	174.98	08/31/20	140.00	...	34.98	Option sale to close-call <sup>25</sup>
JETS 10/23/2020 CALL \$18.50 / CUSIP: / Symbol:							
10/08/20	1.000	49.98	10/07/20	44.00	...	5.98	Option sale to close-call <sup>25</sup>

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Account 748731775

## Proceeds from Broker and Barter Exchange Transactions

2020 1099-B\* OMB No. 1545-0715

(continued)

02/14/2021

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KHC 09/18/2020 CALL \$37.50 / CUSIP: / Symbol:							
3 transactions for 09/18/20. Total proceeds and cost reported to the IRS.							
	1.000	0.00	08/14/20	48.00	...	-48.00	1 of 3 - Option expiration- long call
	1.000	0.00	09/02/20	19.00	...	-19.00	2 of 3 - Option expiration- long call
	4.000	0.00	09/04/20	28.00	...	-28.00	3 of 3 - Option expiration- long call
09/18/20	6.000	0.00	Various	95.00	...	-95.00	Total of 3 transactions
KODK 09/11/2020 CALL \$6.00 / CUSIP: / Symbol:							
09/11/20	1.000	29.98	09/09/20	40.00	...	-10.02	Option sale to close-call <sup>25</sup>
MSFT 01/15/2021 CALL \$230.00 / CUSIP: / Symbol:							
11/10/20	1.000	379.98	11/10/20	360.00	...	19.98	Option sale to close-call <sup>25</sup>
MSFT 08/28/2020 CALL \$220.00 / CUSIP: / Symbol:							
08/26/20	1.000	160.98	08/21/20	116.00	...	44.98	Option sale to close-call <sup>25</sup>
MSFT 09/18/2020 CALL \$250.00 / CUSIP: / Symbol:							
09/02/20	1.000	226.98	09/01/20	137.00	...	89.98	Option sale to close-call <sup>25</sup>
5 transactions for 09/18/20. Total proceeds and cost reported to the IRS.							
	1.000	0.00	09/04/20	73.00	...	-73.00	1 of 5 - Option expiration- long call
	1.000	0.00	09/04/20	41.00	...	-41.00	2 of 5 - Option expiration- long call
	1.000	0.00	09/04/20	41.00	...	-41.00	3 of 5 - Option expiration- long call
	3.000	0.00	09/08/20	81.00	...	-81.00	4 of 5 - Option expiration- long call
	2.000	0.00	09/09/20	38.00	...	-38.00	5 of 5 - Option expiration- long call
09/18/20	8.000	0.00	Various	274.00	...	-274.00	Total of 5 transactions
	<b>Security total:</b>	<b>226.98</b>		<b>411.00</b>	...	<b>-184.02</b>	
ORCL 09/04/2020 CALL \$60.00 / CUSIP: / Symbol:							
2 transactions for 08/26/20. Total proceeds and cost reported to the IRS.							
	1.000	10.98	08/26/20	8.00	...	2.98	1 of 2 - Option sale to close-call <sup>25</sup>
	2.000	21.98	08/26/20	16.00	...	5.98	2 of 2 - Option sale to close-call <sup>25</sup>
08/26/20	3.000	32.96	Various	24.00	...	8.96	Total of 2 transactions
OXY 09/04/2020 CALL \$14.00 / CUSIP: / Symbol:							
09/02/20	2.000	5.98	08/28/20	36.00	...	-30.02	Option sale to close-call <sup>25</sup>

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Robinhood Securities LLC

Account 748731775

**Proceeds from Broker and Barter Exchange Transactions**

2020 1099-B\* OMB No. 1545-0715

(continued)

02/14/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5)**

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RTX 09/04/2020 CALL \$63.00 / CUSIP: / Symbol:							
2 transactions for 09/03/20. Total proceeds and cost reported to the IRS.							
	1.000	15.99	08/31/20	104.00	...	-88.01	1 of 2 - Option sale to close-call <sup>25</sup>
	1.000	15.99	09/03/20	30.00	...	-14.01	2 of 2 - Option sale to close-call <sup>25</sup>
09/03/20	2.000	31.98	Various	134.00	...	-102.02	Total of 2 transactions
SNAP 09/04/2020 PUT \$21.00 / CUSIP: / Symbol:							
2 transactions for 09/01/20. Total proceeds and cost reported to the IRS.							
	1.000	18.00	08/28/20	43.00	...	-25.00	1 of 2 - Option sale to close-put <sup>25</sup>
	3.000	53.98	08/31/20	42.00	...	11.98	2 of 2 - Option sale to close-put <sup>25</sup>
09/01/20	4.000	71.98	Various	85.00	...	-13.02	Total of 2 transactions
SPWR 11/20/2020 CALL \$18.00 / CUSIP: / Symbol:							
2 transactions for 11/05/20. Total proceeds and cost reported to the IRS.							
	1.000	106.99	11/04/20	110.00	...	-3.01	1 of 2 - Option sale to close-call <sup>25</sup>
	1.000	106.99	11/04/20	71.00	...	35.99	2 of 2 - Option sale to close-call <sup>25</sup>
11/05/20	2.000	213.98	Various	181.00	...	32.98	Total of 2 transactions
SPY 08/21/2020 CALL \$340.00 / CUSIP: / Symbol:							
08/18/20	1.000	109.98	08/18/20	87.00	...	22.98	Option sale to close-call <sup>25</sup>
SQ 08/21/2020 CALL \$150.00 / CUSIP: / Symbol:							
2 transactions for 08/17/20. Total proceeds and cost reported to the IRS.							
	1.000	204.98	08/13/20	296.00	...	-91.02	1 of 2 - Option sale to close-call <sup>25</sup>
	1.000	414.98	08/13/20	296.00	...	118.98	2 of 2 - Option sale to close-call <sup>25</sup>
08/17/20	2.000	619.96	Various	592.00	...	27.96	Total of 2 transactions
ALIBABA GROUP HOLDING LIMITED AMERICAN DEPOSITARY SHARES, EA CH REPRESENTS EIGHT ORDINARY S / CUSIP: 01609W102 / Symbol:							
2 transactions for 11/20/20. Total proceeds and cost reported to the IRS.							
	1.000	264.00	11/16/20	259.00	...	5.00	1 of 2 - Sale <sup>25</sup>
	1.000	264.00	11/16/20	258.04	...	5.96	2 of 2 - Sale <sup>25</sup>
11/20/20	2.000	528.00	Various	517.04	...	10.96	Total of 2 transactions
4 transactions for 12/16/20. Total proceeds and cost reported to the IRS.							
	0.000	0.03	11/27/20	0.03	...	0.00	1 of 4 - Sale <sup>25</sup>
	0.000	0.05	11/30/20	0.05	...	0.00	2 of 4 - Sale <sup>25</sup>

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## Proceeds from Broker and Barter Exchange Transactions

2020 1099-B\* OMB No. 1545-0715

(continued)

02/14/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5)**

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ALIBABA GROUP HOLDING LIMITED AMERICAN DEPOSITARY SHARES, EA CH REPRESENTS EIGHT ORDINARY S / CUSIP: 01609W102 / Symbol: (cont'd)							
	0.000	0.05	12/14/20	0.05	...	0.00	3 of 4 - Sale <sup>25</sup>
	0.389	101.24	12/14/20	99.95	...	1.29	4 of 4 - Sale <sup>25</sup>
12/16/20	0.389	101.37	Various	100.08	...	1.29	Total of 4 transactions
	8 transactions for 12/16/20. Total proceeds and cost reported to the IRS.						
	1.000	260.41	11/25/20	276.85	16.44 W	0.00	1 of 8 - Sale <sup>25</sup>
	0.181	47.06	11/27/20	50.00	2.94 W	0.00	2 of 8 - Sale <sup>25</sup>
	0.181	47.12	11/27/20	50.00	2.88 W	0.00	3 of 8 - Sale <sup>25</sup>
	0.362	94.26	11/27/20	99.97	5.71 W	0.00	4 of 8 - Sale <sup>25</sup>
	0.362	94.16	11/27/20	100.00	5.84 W	0.00	5 of 8 - Sale <sup>25</sup>
	0.373	97.07	11/30/20	99.95	2.88 W	0.00	6 of 8 - Sale <sup>25</sup>
	1.000	260.42	11/30/20	265.00	4.58 W	0.00	7 of 8 - Sale <sup>25</sup>
	1.000	260.41	12/01/20	262.86	2.45 W	0.00	8 of 8 - Sale <sup>25</sup>
12/16/20	4.458	1,160.91	Various	1,204.63	43.72 W	0.00	Total of 8 transactions
	8 transactions for 12/17/20. Total proceeds and cost reported to the IRS.						
	0.362	95.53	12/16/20	100.58	...	-5.05	1 of 8 - Sale <sup>25</sup>
	0.362	95.63	12/16/20	100.55	...	-4.92	2 of 8 - Sale <sup>25</sup>
	0.181	47.74	12/16/20	50.29	...	-2.55	3 of 8 - Sale <sup>25</sup>
	0.181	47.80	12/16/20	50.28	...	-2.48	4 of 8 - Sale <sup>25</sup>
	1.000	264.18	12/16/20	266.58	...	-2.40	5 of 8 - Sale <sup>25</sup>
	0.373	98.47	12/16/20	100.54	...	-2.07	6 of 8 - Sale <sup>25</sup>
	1.000	264.19	12/16/20	264.45	...	-0.26	7 of 8 - Sale <sup>25</sup>
	0.542	143.20	12/16/20	142.01	...	1.19	8 of 8 - Sale <sup>25</sup>
12/17/20	4.000	1,056.74	Various	1,075.28	...	-18.54	Total of 8 transactions
12/17/20	1.000	264.19	12/16/20	278.44	14.25 W	0.00	Sale <sup>25</sup>
12/28/20	1.000	220.89	12/24/20	227.32	...	-6.43	Sale <sup>25</sup>
	<b>Security total:</b>	<b>3,332.10</b>		<b>3,402.79</b>	<b>57.97 W</b>	<b>-12.72</b>	

ALPHA PRO TECH, LTD. / CUSIP: 020772109 / Symbol:

2 transactions for 11/12/20. Total proceeds and cost reported to the IRS.

	1.000	12.53	11/11/20	12.25	...	0.28	1 of 2 - Sale <sup>25</sup>
	14.000	175.38	11/11/20	171.50	...	3.88	2 of 2 - Sale <sup>25</sup>
11/12/20	15.000	187.91	Various	183.75	...	4.16	Total of 2 transactions

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## Proceeds from Broker and Barter Exchange Transactions

2020 1099-B\* OMB No. 1545-0715

(continued)

02/14/2021

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AMAZON.COM, INC. COMMON STOCK / CUSIP: 023135106 / Symbol:							
2 transactions for 11/27/20. Total proceeds and cost reported to the IRS.							
	0.016	52.78	11/10/20	50.00	...	2.78	1 of 2 - Sale <sup>25</sup>
	0.065	207.49	11/20/20	200.00	...	7.49	2 of 2 - Sale <sup>25</sup>
11/27/20	0.081	260.27	Various	250.00	...	10.27	Total of 2 transactions
11/27/20	0.045	145.20	11/05/20	150.00	4.80 W	0.00	Sale <sup>25</sup>
3 transactions for 12/01/20. Total proceeds and cost reported to the IRS.							
	0.017	56.05	11/27/20	55.44	...	0.61	1 of 3 - Sale <sup>25</sup>
	0.031	101.26	11/27/20	100.00	...	1.26	2 of 3 - Sale <sup>25</sup>
	0.063	202.62	11/27/20	200.00	...	2.62	3 of 3 - Sale <sup>25</sup>
12/01/20	0.111	359.93	Various	355.44	...	4.49	Total of 3 transactions
12/01/20	0.045	146.15	11/27/20	149.36	3.21 W	0.00	Sale <sup>25</sup>
5 transactions for 12/14/20. Total proceeds and cost reported to the IRS.							
	0.016	50.22	12/04/20	50.00	...	0.22	1 of 5 - Sale <sup>25</sup>
	0.016	50.66	12/08/20	50.00	...	0.66	2 of 5 - Sale <sup>25</sup>
	0.095	302.91	12/08/20	300.00	...	2.91	3 of 5 - Sale <sup>25</sup>
	0.016	50.70	12/09/20	50.00	...	0.70	4 of 5 - Sale <sup>25</sup>
	0.016	51.65	12/10/20	50.00	...	1.65	5 of 5 - Sale <sup>25</sup>
12/14/20	0.159	506.14	Various	500.00	...	6.14	Total of 5 transactions
4 transactions for 12/14/20. Total proceeds and cost reported to the IRS.							
	0.045	143.63	12/03/20	147.72	4.09 W	0.00	1 of 4 - Sale <sup>25</sup>
	0.002	5.46	12/03/20	5.49	0.03 W	0.00	2 of 4 - Sale <sup>25</sup>
	0.031	99.31	12/03/20	100.00	0.69 W	0.00	3 of 4 - Sale <sup>25</sup>
	0.031	99.70	12/03/20	100.00	0.30 W	0.00	4 of 4 - Sale <sup>25</sup>
12/14/20	0.109	348.10	Various	353.21	5.11 W	0.00	Total of 4 transactions
	<b>Security total:</b>	<b>1,765.79</b>		<b>1,758.01</b>	<b>13.12 W</b>	<b>20.90</b>	

APPLE INC. COMMON STOCK / CUSIP: 037833100 / Symbol:

29 transactions for 11/04/20. Total proceeds and cost reported to the IRS.

	1.000	115.35	09/14/20	114.28	...	1.07	1 of 29 - Sale <sup>25</sup>
	0.465	53.63	09/18/20	50.00	...	3.63	2 of 29 - Sale <sup>25</sup>
	0.088	10.15	10/02/20	10.00	...	0.15	3 of 29 - Sale <sup>25</sup>
	0.442	50.97	10/02/20	50.00	...	0.97	4 of 29 - Sale <sup>25</sup>
	0.087	10.02	10/06/20	10.00	...	0.02	5 of 29 - Sale <sup>25</sup>

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## Proceeds from Broker and Barter Exchange Transactions

2020 1099-B\* OMB No. 1545-0715

(continued)

02/14/2021

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APPLE INC. COMMON STOCK / CUSIP: 037833100 / Symbol: (cont'd)							
	0.087	10.01	10/07/20	10.00	...	0.01	6 of 29 - Sale <sup>25</sup>
	0.087	10.04	10/08/20	10.00	...	0.04	7 of 29 - Sale <sup>25</sup>
	0.000	0.02	10/13/20	0.02	...	0.00	8 of 29 - Sale <sup>25</sup>
	0.000	0.01	10/15/20	0.01	...	0.00	9 of 29 - Sale <sup>25</sup>
	0.087	10.03	10/23/20	10.00	...	0.03	10 of 29 - Sale <sup>25</sup>
	0.088	10.19	10/26/20	10.00	...	0.19	11 of 29 - Sale <sup>25</sup>
	0.000	0.03	10/28/20	0.03	...	0.00	12 of 29 - Sale <sup>25</sup>
	0.089	10.23	10/28/20	10.00	...	0.23	13 of 29 - Sale <sup>25</sup>
	0.669	77.18	10/28/20	75.21	...	1.97	14 of 29 - Sale <sup>25</sup>
	2.000	230.70	10/28/20	224.76	...	5.94	15 of 29 - Sale <sup>25</sup>
	8.000	922.78	10/28/20	901.87	...	20.91	16 of 29 - Sale <sup>25</sup>
	0.005	0.60	10/30/20	0.60	...	0.00	17 of 29 - Sale <sup>25</sup>
	0.016	1.84	10/30/20	1.81	...	0.03	18 of 29 - Sale <sup>25</sup>
	0.040	4.64	10/30/20	4.60	...	0.04	19 of 29 - Sale <sup>25</sup>
	0.083	9.59	10/30/20	9.44	...	0.15	20 of 29 - Sale <sup>25</sup>
	0.092	10.65	10/30/20	10.48	...	0.17	21 of 29 - Sale <sup>25</sup>
	0.202	23.34	10/30/20	23.11	...	0.23	22 of 29 - Sale <sup>25</sup>
	0.086	9.89	10/30/20	9.42	...	0.47	23 of 29 - Sale <sup>25</sup>
	0.086	9.89	10/30/20	9.42	...	0.47	24 of 29 - Sale <sup>25</sup>
	0.086	9.93	10/30/20	9.42	...	0.51	25 of 29 - Sale <sup>25</sup>
	0.086	9.97	10/30/20	9.42	...	0.55	26 of 29 - Sale <sup>25</sup>
	1.861	214.62	10/30/20	202.07	...	12.55	27 of 29 - Sale <sup>25</sup>
	0.093	10.68	11/02/20	10.48	...	0.20	28 of 29 - Sale <sup>25</sup>
	0.676	77.95	11/02/20	76.13	...	1.82	29 of 29 - Sale <sup>25</sup>
11/04/20	16.601	1,914.93	Various	1,862.58	...	52.35	Total of 29 transactions
	23 transactions for 11/04/20. Total proceeds and cost reported to the IRS.						
	0.086	9.89	09/30/20	10.00	0.11 W	0.00	1 of 23 - Sale <sup>25</sup>
	0.086	9.89	10/01/20	10.00	0.11 W	0.00	2 of 23 - Sale <sup>25</sup>
	0.086	9.97	10/05/20	10.00	0.03 W	0.00	3 of 23 - Sale <sup>25</sup>
	0.086	9.93	10/09/20	10.00	0.07 W	0.00	4 of 23 - Sale <sup>25</sup>
	0.081	9.29	10/12/20	10.00	0.71 W	0.00	5 of 23 - Sale <sup>25</sup>
	0.286	33.01	10/13/20	35.00	1.99 W	0.00	6 of 23 - Sale <sup>25</sup>
	0.082	9.43	10/13/20	10.00	0.57 W	0.00	7 of 23 - Sale <sup>25</sup>
	0.005	0.60	10/13/20	0.63	0.03 W	0.00	8 of 23 - Sale <sup>25</sup>

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Robinhood Securities LLC

Account 748731775

## Proceeds from Broker and Barter Exchange Transactions

2020 1099-B\* OMB No. 1545-0715

(continued)

02/14/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5)**

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APPLE INC. COMMON STOCK / CUSIP: 037833100 / Symbol: (cont'd)							
	0.243	27.97	10/13/20	29.35	1.38 W	0.00	9 of 23 - Sale <sup>25</sup>
	0.083	9.59	10/14/20	10.00	0.41 W	0.00	10 of 23 - Sale <sup>25</sup>
	4.149	478.54	10/15/20	499.99	21.45 W	0.00	11 of 23 - Sale <sup>25</sup>
	0.083	9.58	10/15/20	10.00	0.42 W	0.00	12 of 23 - Sale <sup>25</sup>
	0.083	9.60	10/16/20	10.00	0.40 W	0.00	13 of 23 - Sale <sup>25</sup>
	0.084	9.73	10/19/20	10.00	0.27 W	0.00	14 of 23 - Sale <sup>25</sup>
	0.084	9.71	10/20/20	10.00	0.29 W	0.00	15 of 23 - Sale <sup>25</sup>
	3.000	346.04	10/21/20	352.50	6.46 W	0.00	16 of 23 - Sale <sup>25</sup>
	0.085	9.82	10/21/20	10.00	0.18 W	0.00	17 of 23 - Sale <sup>25</sup>
	0.086	9.96	10/22/20	10.00	0.04 W	0.00	18 of 23 - Sale <sup>25</sup>
	0.086	9.88	10/27/20	10.00	0.12 W	0.00	19 of 23 - Sale <sup>25</sup>
	0.086	9.94	10/29/20	10.00	0.06 W	0.00	20 of 23 - Sale <sup>25</sup>
	0.081	9.29	10/30/20	9.46	0.17 W	0.00	21 of 23 - Sale <sup>25</sup>
	0.082	9.43	10/30/20	9.45	0.02 W	0.00	22 of 23 - Sale <sup>25</sup>
	0.286	33.01	10/30/20	33.07	0.06 W	0.00	23 of 23 - Sale <sup>25</sup>
11/04/20	9.399	1,084.10	Various	1,119.45	35.35 W	0.00	Total of 23 transactions
	11 transactions for 11/06/20. Total proceeds and cost reported to the IRS.						
	0.324	38.20	11/02/20	36.54	...	1.66	1 of 11 - Sale <sup>25</sup>
	0.090	10.66	11/03/20	10.47	...	0.19	2 of 11 - Sale <sup>25</sup>
	0.063	7.44	11/04/20	7.44	...	0.00	3 of 11 - Sale <sup>25</sup>
	0.021	2.50	11/04/20	2.50	...	0.00	4 of 11 - Sale <sup>25</sup>
	0.087	10.22	11/04/20	10.16	...	0.06	5 of 11 - Sale <sup>25</sup>
	0.081	9.49	11/04/20	9.39	...	0.10	6 of 11 - Sale <sup>25</sup>
	0.082	9.63	11/04/20	9.38	...	0.25	7 of 11 - Sale <sup>25</sup>
	0.499	58.72	11/04/20	58.27	...	0.45	8 of 11 - Sale <sup>25</sup>
	0.465	54.75	11/04/20	54.21	...	0.54	9 of 11 - Sale <sup>25</sup>
	0.286	33.71	11/04/20	32.83	...	0.88	10 of 11 - Sale <sup>25</sup>
	0.895	105.39	11/04/20	104.36	...	1.03	11 of 11 - Sale <sup>25</sup>
11/06/20	2.892	340.71	Various	335.55	...	5.16	Total of 11 transactions
	8 transactions for 11/06/20. Total proceeds and cost reported to the IRS.						
	0.087	10.22	11/04/20	10.45	0.23 W	0.00	1 of 8 - Sale <sup>25</sup>
	0.499	58.72	11/04/20	59.91	1.19 W	0.00	2 of 8 - Sale <sup>25</sup>
	0.501	59.07	11/04/20	60.26	1.19 W	0.00	3 of 8 - Sale <sup>25</sup>
	1.000	117.80	11/04/20	120.16	2.36 W	0.00	4 of 8 - Sale <sup>25</sup>

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Robinhood Securities LLC

Account 748731775

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2020 1099-B\* OMB No. 1545-0715

(continued)

02/14/2021

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APPLE INC. COMMON STOCK / CUSIP: 037833100 / Symbol: (cont'd)							
	0.083	9.78	11/04/20	9.94	0.16 W	0.00	5 of 8 - Sale <sup>25</sup>
	0.771	90.77	11/04/20	92.29	1.52 W	0.00	6 of 8 - Sale <sup>25</sup>
	0.083	9.80	11/04/20	9.93	0.13 W	0.00	7 of 8 - Sale <sup>25</sup>
	0.084	9.91	11/04/20	9.93	0.02 W	0.00	8 of 8 - Sale <sup>25</sup>
11/06/20	3.108	366.07	Various	372.87	6.80 W	0.00	Total of 8 transactions
	7 transactions for 11/11/20. Total proceeds and cost reported to the IRS.						
	0.016	1.89	11/04/20	1.87	...	0.02	1 of 7 - Sale <sup>25</sup>
	0.085	10.04	11/04/20	9.93	...	0.11	2 of 7 - Sale <sup>25</sup>
	0.086	10.10	11/04/20	9.93	...	0.17	3 of 7 - Sale <sup>25</sup>
	0.086	10.17	11/04/20	9.93	...	0.24	4 of 7 - Sale <sup>25</sup>
	0.086	10.19	11/04/20	9.93	...	0.26	5 of 7 - Sale <sup>25</sup>
	0.501	59.14	11/04/20	58.62	...	0.52	6 of 7 - Sale <sup>25</sup>
	1.641	193.48	11/04/20	191.38	...	2.10	7 of 7 - Sale <sup>25</sup>
11/11/20	2.501	295.01	Various	291.59	...	3.42	Total of 7 transactions
	12 transactions for 11/11/20. Total proceeds and cost reported to the IRS.						
	0.085	9.98	11/05/20	10.20	0.22 W	0.00	1 of 12 - Sale <sup>25</sup>
	0.084	9.91	11/06/20	10.20	0.29 W	0.00	2 of 12 - Sale <sup>25</sup>
	0.185	21.78	11/09/20	22.24	0.46 W	0.00	3 of 12 - Sale <sup>25</sup>
	0.815	96.15	11/09/20	98.54	2.39 W	0.00	4 of 12 - Sale <sup>25</sup>
	0.083	9.83	11/09/20	10.17	0.34 W	0.00	5 of 12 - Sale <sup>25</sup>
	0.083	9.79	11/09/20	10.09	0.30 W	0.00	6 of 12 - Sale <sup>25</sup>
	0.503	59.27	11/09/20	61.04	1.77 W	0.00	7 of 12 - Sale <sup>25</sup>
	0.083	9.81	11/09/20	10.07	0.26 W	0.00	8 of 12 - Sale <sup>25</sup>
	0.084	9.92	11/09/20	10.08	0.16 W	0.00	9 of 12 - Sale <sup>25</sup>
	0.247	29.14	11/09/20	29.52	0.38 W	0.00	10 of 12 - Sale <sup>25</sup>
	1.000	117.93	11/09/20	118.50	0.57 W	0.00	11 of 12 - Sale <sup>25</sup>
	1.246	147.00	11/09/20	147.08	0.08 W	0.00	12 of 12 - Sale <sup>25</sup>
11/11/20	4.499	530.51	Various	537.73	7.22 W	0.00	Total of 12 transactions
	4 transactions for 11/27/20. Total proceeds and cost reported to the IRS.						
	1.000	117.32	11/09/20	117.11	...	0.21	1 of 4 - Sale <sup>25</sup>
	0.501	58.83	11/09/20	58.48	...	0.35	2 of 4 - Sale <sup>25</sup>
	0.086	10.10	11/10/20	10.01	...	0.09	3 of 4 - Sale <sup>25</sup>

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Account 748731775

## Proceeds from Broker and Barter Exchange Transactions

2020 1099-B\* OMB No. 1545-0715

(continued)

02/14/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5)**

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APPLE INC. COMMON STOCK / CUSIP: 037833100 / Symbol: (cont'd)							
	0.474	55.65	11/23/20	54.85	...	0.80	4 of 4 - Sale <sup>25</sup>
11/27/20	2.062	241.90	Various	240.45	...	1.45	Total of 4 transactions
	22 transactions for 11/27/20. Total proceeds and cost reported to the IRS.						
	0.085	9.93	11/09/20	10.21	0.28 W	0.00	1 of 22 - Sale <sup>25</sup>
	0.084	9.86	11/09/20	10.20	0.34 W	0.00	2 of 22 - Sale <sup>25</sup>
	0.585	68.62	11/09/20	70.73	2.11 W	0.00	3 of 22 - Sale <sup>25</sup>
	0.083	9.74	11/09/20	9.98	0.24 W	0.00	4 of 22 - Sale <sup>25</sup>
	0.083	9.78	11/09/20	10.06	0.28 W	0.00	5 of 22 - Sale <sup>25</sup>
	0.185	21.67	11/09/20	21.98	0.31 W	0.00	6 of 22 - Sale <sup>25</sup>
	0.230	27.04	11/09/20	27.54	0.50 W	0.00	7 of 22 - Sale <sup>25</sup>
	0.503	58.96	11/09/20	60.34	1.38 W	0.00	8 of 22 - Sale <sup>25</sup>
	0.083	9.76	11/09/20	9.96	0.20 W	0.00	9 of 22 - Sale <sup>25</sup>
	0.084	9.87	11/09/20	9.97	0.10 W	0.00	10 of 22 - Sale <sup>25</sup>
	0.247	28.98	11/09/20	29.17	0.19 W	0.00	11 of 22 - Sale <sup>25</sup>
	0.084	9.82	11/11/20	10.01	0.19 W	0.00	12 of 22 - Sale <sup>25</sup>
	0.084	9.85	11/12/20	10.01	0.16 W	0.00	13 of 22 - Sale <sup>25</sup>
	0.015	1.73	11/13/20	1.76	0.03 W	0.00	14 of 22 - Sale <sup>25</sup>
	0.084	9.86	11/13/20	10.01	0.15 W	0.00	15 of 22 - Sale <sup>25</sup>
	0.083	9.77	11/16/20	10.01	0.24 W	0.00	16 of 22 - Sale <sup>25</sup>
	0.014	1.60	11/17/20	1.64	0.04 W	0.00	17 of 22 - Sale <sup>25</sup>
	0.069	8.14	11/17/20	8.36	0.22 W	0.00	18 of 22 - Sale <sup>25</sup>
	0.084	9.82	11/18/20	10.00	0.18 W	0.00	19 of 22 - Sale <sup>25</sup>
	0.085	9.96	11/19/20	10.00	0.04 W	0.00	20 of 22 - Sale <sup>25</sup>
	0.085	9.94	11/20/20	10.00	0.06 W	0.00	21 of 22 - Sale <sup>25</sup>
	5.000	586.60	11/20/20	586.75	0.15 W	0.00	22 of 22 - Sale <sup>25</sup>
11/27/20	7.938	931.30	Various	938.69	7.39 W	0.00	Total of 22 transactions
	25 transactions for 11/30/20. Total proceeds and cost reported to the IRS.						
	0.007	0.85	11/23/20	0.85	...	0.00	1 of 25 - Sale <sup>25</sup>
	0.085	10.09	11/23/20	10.07	...	0.02	2 of 25 - Sale <sup>25</sup>
	0.083	9.94	11/23/20	9.92	...	0.02	3 of 25 - Sale <sup>25</sup>
	0.015	1.76	11/23/20	1.73	...	0.03	4 of 25 - Sale <sup>25</sup>
	0.014	1.63	11/23/20	1.60	...	0.03	5 of 25 - Sale <sup>25</sup>
	0.083	9.90	11/23/20	9.84	...	0.06	6 of 25 - Sale <sup>25</sup>
	0.083	9.91	11/23/20	9.82	...	0.09	7 of 25 - Sale <sup>25</sup>

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**Proceeds from Broker and Barter Exchange Transactions**

2020 1099-B\* OMB No. 1545-0715

(continued)

02/14/2021

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APPLE INC. COMMON STOCK / CUSIP: 037833100 / Symbol: (cont'd)							
	0.084	9.97	11/23/20	9.87	...	0.10	8 of 25 - Sale <sup>25</sup>
	0.069	8.27	11/23/20	8.16	...	0.11	9 of 25 - Sale <sup>25</sup>
	0.076	9.07	11/23/20	8.94	...	0.13	10 of 25 - Sale <sup>25</sup>
	0.084	10.01	11/23/20	9.87	...	0.14	11 of 25 - Sale <sup>25</sup>
	0.084	10.01	11/23/20	9.87	...	0.14	12 of 25 - Sale <sup>25</sup>
	0.084	10.03	11/23/20	9.83	...	0.20	13 of 25 - Sale <sup>25</sup>
	0.084	9.97	11/23/20	9.76	...	0.21	14 of 25 - Sale <sup>25</sup>
	0.230	27.46	11/23/20	27.15	...	0.31	15 of 25 - Sale <sup>25</sup>
	0.085	10.09	11/23/20	9.76	...	0.33	16 of 25 - Sale <sup>25</sup>
	0.185	22.00	11/23/20	21.66	...	0.34	17 of 25 - Sale <sup>25</sup>
	0.085	10.11	11/23/20	9.76	...	0.35	18 of 25 - Sale <sup>25</sup>
	0.087	10.37	11/23/20	10.00	...	0.37	19 of 25 - Sale <sup>25</sup>
	0.503	59.87	11/23/20	59.49	...	0.38	20 of 25 - Sale <sup>25</sup>
	0.247	29.43	11/23/20	28.75	...	0.68	21 of 25 - Sale <sup>25</sup>
	0.588	70.00	11/23/20	67.30	...	2.70	22 of 25 - Sale <sup>25</sup>
	0.087	10.35	11/24/20	10.00	...	0.35	23 of 25 - Sale <sup>25</sup>
	0.086	10.27	11/25/20	10.00	...	0.27	24 of 25 - Sale <sup>25</sup>
	1.214	144.66	11/27/20	142.24	...	2.42	25 of 25 - Sale <sup>25</sup>
11/30/20	4.331	516.02	Various	506.24	...	9.78	Total of 25 transactions
	2 transactions for 11/30/20. Total proceeds and cost reported to the IRS.						
	0.084	10.01	11/23/20	10.06	0.05 W	0.00	1 of 2 - Sale <sup>25</sup>
	0.585	69.68	11/23/20	69.74	0.06 W	0.00	2 of 2 - Sale <sup>25</sup>
11/30/20	0.669	79.69	Various	79.80	0.11 W	0.00	Total of 2 transactions
	22 transactions for 12/16/20. Total proceeds and cost reported to the IRS.						
	0.084	10.68	11/27/20	9.87	...	0.81	1 of 22 - Sale <sup>25</sup>
	0.086	10.92	11/27/20	10.00	...	0.92	2 of 22 - Sale <sup>25</sup>
	0.258	32.79	11/27/20	30.21	...	2.58	3 of 22 - Sale <sup>25</sup>
	0.284	36.10	11/27/20	33.21	...	2.89	4 of 22 - Sale <sup>25</sup>
	0.301	38.26	11/27/20	35.09	...	3.17	5 of 22 - Sale <sup>25</sup>
	0.632	80.35	11/27/20	73.89	...	6.46	6 of 22 - Sale <sup>25</sup>
	0.699	88.88	11/27/20	81.44	...	7.44	7 of 22 - Sale <sup>25</sup>
	1.528	194.26	11/27/20	179.00	...	15.26	8 of 22 - Sale <sup>25</sup>
	0.084	10.62	11/30/20	10.00	...	0.62	9 of 22 - Sale <sup>25</sup>
	0.081	10.32	12/01/20	10.00	...	0.32	10 of 22 - Sale <sup>25</sup>

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(continued)

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APPLE INC. COMMON STOCK / CUSIP: 037833100 / Symbol: (cont'd)							
	0.081	10.33	12/02/20	10.00	...	0.33	11 of 22 - Sale <sup>25</sup>
	0.081	10.35	12/03/20	10.00	...	0.35	12 of 22 - Sale <sup>25</sup>
	0.082	10.42	12/04/20	10.00	...	0.42	13 of 22 - Sale <sup>25</sup>
	0.081	10.26	12/07/20	10.00	...	0.26	14 of 22 - Sale <sup>25</sup>
	0.080	10.20	12/08/20	10.00	...	0.20	15 of 22 - Sale <sup>25</sup>
	0.000	0.03	12/09/20	0.03	...	0.00	16 of 22 - Sale <sup>25</sup>
	0.082	10.40	12/09/20	10.00	...	0.40	17 of 22 - Sale <sup>25</sup>
	0.410	52.13	12/09/20	49.97	...	2.16	18 of 22 - Sale <sup>25</sup>
	0.081	10.31	12/10/20	10.00	...	0.31	19 of 22 - Sale <sup>25</sup>
	0.082	10.46	12/11/20	10.00	...	0.46	20 of 22 - Sale <sup>25</sup>
	0.082	10.39	12/14/20	10.00	...	0.39	21 of 22 - Sale <sup>25</sup>
	0.079	10.02	12/15/20	10.00	...	0.02	22 of 22 - Sale <sup>25</sup>
12/16/20	5.258	668.48	Various	622.71	...	45.77	Total of 22 transactions
	10 transactions for 12/29/20. Total proceeds and cost reported to the IRS.						
	0.017	2.35	12/16/20	2.20	...	0.15	1 of 10 - Sale <sup>25</sup>
	0.078	10.63	12/16/20	10.00	...	0.63	2 of 10 - Sale <sup>25</sup>
	0.983	133.34	12/16/20	124.80	...	8.54	3 of 10 - Sale <sup>25</sup>
	0.078	10.57	12/17/20	10.00	...	0.57	4 of 10 - Sale <sup>25</sup>
	0.079	10.70	12/18/20	10.00	...	0.70	5 of 10 - Sale <sup>25</sup>
	0.079	10.70	12/21/20	10.00	...	0.70	6 of 10 - Sale <sup>25</sup>
	0.403	54.74	12/21/20	50.00	...	4.74	7 of 10 - Sale <sup>25</sup>
	0.075	10.20	12/22/20	10.00	...	0.20	8 of 10 - Sale <sup>25</sup>
	0.076	10.29	12/23/20	10.00	...	0.29	9 of 10 - Sale <sup>25</sup>
	0.076	10.26	12/24/20	10.00	...	0.26	10 of 10 - Sale <sup>25</sup>
12/29/20	1.944	263.78	Various	247.00	...	16.78	Total of 10 transactions
12/29/20	0.073	9.95	12/28/20	10.00	0.05 W	0.00	Sale <sup>25</sup>
	<b>Security total:</b>	<b>7,242.45</b>		<b>7,164.66</b>	<b>56.92 W</b>	<b>134.71</b>	
AURORA CANNABIS INC. COMMON SH ARES / CUSIP: 05156X884 / Symbol:							
	7 transactions for 11/05/20. Total proceeds and cost reported to the IRS.						
	3.717	22.75	11/11/19	162.00	139.25 W	0.00	1 of 7 - Sale <sup>25</sup>
	3.717	22.75	11/13/19	157.95	135.20 W	0.00	2 of 7 - Sale <sup>25</sup>
	1.652	10.11	11/14/19	62.60	52.49 W	0.00	3 of 7 - Sale <sup>25</sup>
	4.130	25.28	11/18/19	120.00	94.72 W	0.00	4 of 7 - Sale <sup>25</sup>

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Robinhood Securities LLC

Account 748731775

**Proceeds from Broker and Barter Exchange Transactions**

2020 1099-B\* OMB No. 1545-0715

(continued)

02/14/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5)**

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AURORA CANNABIS INC. COMMON SH ARES / CUSIP: 05156X884 / Symbol: (cont'd)							
	1.652	10.11	11/18/19	45.60	35.49 W	0.00	5 of 7 - Sale <sup>25</sup>
	2.065	12.64	12/23/19	51.25	38.61 W	0.00	6 of 7 - Sale <sup>25</sup>
	2.065	12.64	03/11/20	21.29	8.65 W	0.00	7 of 7 - Sale <sup>25</sup>
11/05/20	19.000	116.28	Various	620.69	504.41 W	0.00	Total of 7 transactions
	4 transactions for 11/06/20. Total proceeds and cost reported to the IRS.						
	3.717	29.00	11/05/20	162.30	133.30 W	0.00	1 of 4 - Sale <sup>25</sup>
	3.717	28.99	11/05/20	158.25	129.26 W	0.00	2 of 4 - Sale <sup>25</sup>
	1.652	12.89	11/05/20	62.73	49.84 W	0.00	3 of 4 - Sale <sup>25</sup>
	0.913	7.12	11/05/20	26.60	19.48 W	0.00	4 of 4 - Sale <sup>25</sup>
11/06/20	10.000	78.00	Various	409.88	331.88 W	0.00	Total of 4 transactions
	4 transactions for 11/17/20. Total proceeds and cost reported to the IRS.						
	2.065	14.58	11/16/20	52.55	...	-37.97	1 of 4 - Sale <sup>25</sup>
	1.652	11.67	11/16/20	46.64	...	-34.97	2 of 4 - Sale <sup>25</sup>
	2.065	14.58	11/16/20	22.59	...	-8.01	3 of 4 - Sale <sup>25</sup>
	1.000	7.06	11/16/20	6.75	...	0.31	4 of 4 - Sale <sup>25</sup>
11/17/20	6.783	47.89	Various	128.53	...	-80.64	Total of 4 transactions
	5 transactions for 11/17/20. Total proceeds and cost reported to the IRS.						
	3.217	22.71	11/16/20	95.50	22.62 W	-50.17	1 of 5 - Sale <sup>25</sup>
	3.717	26.24	11/16/20	158.39	132.15 W	0.00	2 of 5 - Sale <sup>25</sup>
	3.717	26.25	11/16/20	154.35	128.10 W	0.00	3 of 5 - Sale <sup>25</sup>
	1.652	11.66	11/16/20	60.99	49.33 W	0.00	4 of 5 - Sale <sup>25</sup>
	0.913	6.45	11/16/20	25.65	19.20 W	0.00	5 of 5 - Sale <sup>25</sup>
11/17/20	13.217	93.31	Various	494.88	351.40 W	-50.17	Total of 5 transactions
	7 transactions for 12/02/20. Total proceeds and cost reported to the IRS.						
	3.717	40.89	12/01/20	170.44	...	-129.55	1 of 7 - Sale <sup>25</sup>
	2.435	26.78	12/01/20	108.71	...	-81.93	2 of 7 - Sale <sup>25</sup>
	1.283	14.11	12/01/20	57.41	...	-43.30	3 of 7 - Sale <sup>25</sup>
	1.087	11.96	12/01/20	43.16	...	-31.20	4 of 7 - Sale <sup>25</sup>
	1.000	11.00	12/01/20	32.48	...	-21.48	5 of 7 - Sale <sup>25</sup>
	0.913	10.04	12/01/20	28.20	...	-18.16	6 of 7 - Sale <sup>25</sup>
	0.565	6.22	12/01/20	22.64	...	-16.42	7 of 7 - Sale <sup>25</sup>
12/02/20	11.000	121.00	Various	463.04	...	-342.04	Total of 7 transactions
	<b>Security total:</b>	<b>456.48</b>		<b>2,117.02</b>	<b>1,187.69 W</b>	<b>-472.85</b>	

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Robinhood Securities LLC

Account 748731775

**Proceeds from Broker and Barter Exchange Transactions**

2020 1099-B\* OMB No. 1545-0715

(continued)

02/14/2021

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BAIDU, INC. ADS / CUSIP: 056752108 / Symbol:							
11/09/20	2.000	296.64	11/06/20	287.68	...	8.96	Sale <sup>25</sup>
	2 transactions for 11/16/20. Total proceeds and cost reported to the IRS.						
	1.000	146.41	11/09/20	145.77	...	0.64	1 of 2 - Sale <sup>25</sup>
	1.000	146.41	11/09/20	144.19	...	2.22	2 of 2 - Sale <sup>25</sup>
11/16/20	2.000	292.82	Various	289.96	...	2.86	Total of 2 transactions
	2 transactions for 11/27/20. Total proceeds and cost reported to the IRS.						
	1.000	139.39	11/20/20	136.50	...	2.89	1 of 2 - Sale <sup>25</sup>
	1.000	139.38	11/24/20	133.70	...	5.68	2 of 2 - Sale <sup>25</sup>
11/27/20	2.000	278.77	Various	270.20	...	8.57	Total of 2 transactions
	<b>Security total:</b>	<b>868.23</b>		<b>847.84</b>	...	<b>20.39</b>	
BIOCEPT, INC. COMMON STOCK / CUSIP: 09072V402 / Symbol:							
	3 transactions for 06/18/20. Total proceeds and cost reported to the IRS.						
	50.000	46.00	11/11/19	32.55	...	13.45	1 of 3 - Sale <sup>25</sup>
	55.000	50.59	12/30/19	14.49	...	36.10	2 of 3 - Sale <sup>25</sup>
	100.000	91.99	12/30/19	26.35	...	65.64	3 of 3 - Sale <sup>25</sup>
06/18/20	205.000	188.58	Various	73.39	...	115.19	Total of 3 transactions
BOEING COMPANY / CUSIP: 097023105 / Symbol:							
	2 transactions for 08/11/20. Total proceeds and cost reported to the IRS.						
	2.000	371.69	05/15/20	239.96	...	131.73	1 of 2 - Sale <sup>25</sup>
	2.000	371.69	07/07/20	360.56	...	11.13	2 of 2 - Sale <sup>25</sup>
08/11/20	4.000	743.38	Various	600.52	...	142.86	Total of 2 transactions
	3 transactions for 11/06/20. Total proceeds and cost reported to the IRS.						
	1.000	156.80	11/04/20	153.60	...	3.20	1 of 3 - Sale <sup>25</sup>
	1.000	156.80	11/04/20	153.60	...	3.20	2 of 3 - Sale <sup>25</sup>
	1.000	156.80	11/04/20	152.00	...	4.80	3 of 3 - Sale <sup>25</sup>
11/06/20	3.000	470.40	Various	459.20	...	11.20	Total of 3 transactions
11/09/20	1.000	179.30	11/06/20	156.50	...	22.80	Sale <sup>25</sup>
	<b>Security total:</b>	<b>1,393.08</b>		<b>1,216.22</b>	...	<b>176.86</b>	
CARNIVAL CORPORATION / CUSIP: 143658300 / Symbol:							
11/16/20	10.000	173.80	11/13/20	159.90	...	13.90	Sale <sup>25</sup>

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Account 748731775

## Proceeds from Broker and Barter Exchange Transactions

2020 1099-B\* OMB No. 1545-0715

(continued)

02/14/2021

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DOORDASH, INC. / CUSIP: 25809K105 / Symbol:							
5 transactions for 12/21/20. Total proceeds and cost reported to the IRS.							
	0.400	67.28	12/09/20	70.51	...	-3.23	1 of 5 - Sale <sup>25</sup>
	0.167	28.13	12/14/20	28.03	...	0.10	2 of 5 - Sale <sup>25</sup>
	0.144	24.25	12/14/20	23.14	...	1.11	3 of 5 - Sale <sup>25</sup>
	0.618	103.79	12/16/20	100.00	...	3.79	4 of 5 - Sale <sup>25</sup>
	0.670	112.61	12/18/20	100.00	...	12.61	5 of 5 - Sale <sup>25</sup>
12/21/20	2.000	336.06	Various	321.68	...	14.38	Total of 5 transactions
12/21/20	0.167	28.32	12/09/20	29.49	1.17 W	0.00	Sale <sup>25</sup>
	<b>Security total:</b>	<b>364.38</b>		<b>351.17</b>	<b>1.17 W</b>	<b>14.38</b>	
FEDEX CORPORATION / CUSIP: 31428X106 / Symbol:							
12/01/20	1.000	295.63	11/27/20	287.46	...	8.17	Sale <sup>25</sup>
FITBIT, INC. CLASS A COMMON STOCK / CUSIP: 33812L102 / Symbol:							
01/09/20	8.000	53.04	10/30/19	49.28	...	3.76	Sale <sup>25</sup>
FORD MOTOR COMPANY / CUSIP: 345370860 / Symbol:							
01/13/20	3.000	27.69	10/29/19	25.94	...	1.75	Sale <sup>25</sup>
GENERAL ELECTRIC COMPANY / CUSIP: 369604103 / Symbol:							
2 transactions for 08/24/20. Total proceeds and cost reported to the IRS.							
	1.000	6.54	04/17/20	6.82	...	-0.28	1 of 2 - Sale <sup>25</sup>
	20.000	130.85	05/06/20	120.14	...	10.71	2 of 2 - Sale <sup>25</sup>
08/24/20	21.000	137.39	Various	126.96	...	10.43	Total of 2 transactions
GENERAL MOTORS COMPANY / CUSIP: 37045V100 / Symbol:							
4 transactions for 08/11/20. Total proceeds and cost reported to the IRS.							
	5.000	144.80	06/12/20	135.75	...	9.05	1 of 4 - Sale <sup>25</sup>
	5.000	144.80	06/26/20	121.50	...	23.30	2 of 4 - Sale <sup>25</sup>
	10.000	289.59	07/08/20	247.00	...	42.59	3 of 4 - Sale <sup>25</sup>
	10.000	289.59	07/09/20	234.10	...	55.49	4 of 4 - Sale <sup>25</sup>
08/11/20	30.000	868.78	Various	738.35	...	130.43	Total of 4 transactions
INOVIO PHARMACEUTICALS, INC. COMMON STOCK / CUSIP: 45773H201 / Symbol:							
11/27/20	10.000	119.54	11/27/20	110.50	...	9.04	Sale <sup>25</sup>

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Account 748731775

**Proceeds from Broker and Barter Exchange Transactions**

2020 1099-B\* OMB No. 1545-0715

(continued)

02/14/2021

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INTERNATIONAL BUSINESS MACHINE S CORPORATION / CUSIP: 459200101 / Symbol:							
11/13/20	2.000	232.34	11/12/20	227.20	...	5.14	Sale <sup>25</sup>
KIRKLAND'S, INC. COMMONSTOCK / CUSIP: 497498105 / Symbol:							
08/10/20	1.000	6.84	11/18/19	1.33	...	5.51	Sale <sup>25</sup>
LIMELIGHT NETWORKS, INC. COMMO N STOCK / CUSIP: 53261M104 / Symbol:							
01/09/20	1.000	4.48	11/22/19	4.20	...	0.28	Sale <sup>25</sup>
LLOYDS BANKING GROUP PLC / CUSIP: 539439109 / Symbol:							
2 transactions for 01/13/20. Total proceeds and cost reported to the IRS.							
	3.000	9.24	10/31/19	8.76	...	0.48	1 of 2 - Sale <sup>25</sup>
	23.000	70.84	11/08/19	65.90	...	4.94	2 of 2 - Sale <sup>25</sup>
01/13/20	26.000	80.08	Various	74.66	...	5.42	Total of 2 transactions
2 transactions for 10/16/20. Total proceeds and cost reported to the IRS.							
	2.000	2.60 N	11/08/19	5.73	...	-3.13	1 of 2 - Sold via call assignment <sup>25</sup> Proceeds or Cost adjusted for option premium of \$0.60
	98.000	127.37 N	06/26/20	145.04	...	-17.67	2 of 2 - Sold via call assignment <sup>25</sup> Proceeds or Cost adjusted for option premium of \$29.38
10/16/20	100.000	129.97	Various	150.77	...	-20.80	Total of 2 transactions
11/04/20	2.000	2.88	06/26/20	2.96	...	-0.08	Sale <sup>25</sup>
	<b>Security total:</b>	<b>212.93</b>		<b>228.39</b>	...	<b>-15.46</b>	
MICROSOFT CORPORATION COMMON S TOCK / CUSIP: 594918104 / Symbol:							
2 transactions for 12/07/20. Total proceeds and cost reported to the IRS.							
	1.000	213.32	11/17/20	215.00	...	-1.68	1 of 2 - Sale <sup>25</sup>
	1.000	213.32	11/17/20	214.85	...	-1.53	2 of 2 - Sale <sup>25</sup>
12/07/20	2.000	426.64	Various	429.85	...	-3.21	Total of 2 transactions
MODERNA, INC. COMMON STOCK / CUSIP: 60770K107 / Symbol:							
2 transactions for 12/03/20. Total proceeds and cost reported to the IRS.							
	0.002	0.29	12/01/20	0.27	...	0.02	1 of 2 - Sale <sup>25</sup>
	0.705	107.73	12/01/20	99.73	...	8.00	2 of 2 - Sale <sup>25</sup>
12/03/20	0.707	108.02	Various	100.00	...	8.02	Total of 2 transactions

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**Proceeds from Broker and Barter Exchange Transactions**

2020 1099-B\* OMB No. 1545-0715

(continued)

02/14/2021

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MODERNA, INC. COMMON STOCK / CUSIP: 60770K107 / Symbol: (cont'd)							
2 transactions for 12/17/20. Total proceeds and cost reported to the IRS.							
	1.000	145.73	12/16/20	137.65	...	8.08	1 of 2 - Sale <sup>25</sup>
	2.000	291.46	12/16/20	277.12	...	14.34	2 of 2 - Sale <sup>25</sup>
12/17/20	3.000	437.19	Various	414.77	...	22.42	Total of 2 transactions
4 transactions for 12/21/20. Total proceeds and cost reported to the IRS.							
	1.000	146.01	12/17/20	143.50	...	2.51	1 of 4 - Sale <sup>25</sup>
	2.000	292.01	12/17/20	289.32	...	2.69	2 of 4 - Sale <sup>25</sup>
	1.000	146.01	12/17/20	142.21	...	3.80	3 of 4 - Sale <sup>25</sup>
	2.000	292.01	12/17/20	278.00	...	14.01	4 of 4 - Sale <sup>25</sup>
12/21/20	6.000	876.04	Various	853.03	...	23.01	Total of 4 transactions
12/23/20	1.000	131.47	12/22/20	131.30	...	0.17	Sale <sup>25</sup>
4 transactions for 12/23/20. Total proceeds and cost reported to the IRS.							
	1.000	131.47	12/21/20	144.13	12.66 W	0.00	1 of 4 - Sale <sup>25</sup>
	1.000	131.47	12/21/20	143.45	11.98 W	0.00	2 of 4 - Sale <sup>25</sup>
	1.000	131.46	12/21/20	140.46	9.00 W	0.00	3 of 4 - Sale <sup>25</sup>
	1.000	131.46	12/21/20	140.16	8.70 W	0.00	4 of 4 - Sale <sup>25</sup>
12/23/20	4.000	525.86	Various	568.20	42.34 W	0.00	Total of 4 transactions
	<b>Security total:</b>	<b>2,078.58</b>		<b>2,067.30</b>	<b>42.34 W</b>	<b>53.62</b>	
NAUTILUS, INC. / CUSIP: 63910B102 / Symbol:							
4 transactions for 11/17/20. Total proceeds and cost reported to the IRS.							
	5.000	92.55	11/16/20	95.00	...	-2.45	1 of 4 - Sale <sup>25</sup>
	5.000	92.55	11/16/20	92.50	...	0.05	2 of 4 - Sale <sup>25</sup>
	1.000	18.51	11/16/20	18.00	...	0.51	3 of 4 - Sale <sup>25</sup>
	4.000	74.04	11/16/20	72.00	...	2.04	4 of 4 - Sale <sup>25</sup>
11/17/20	15.000	277.65	Various	277.50	...	0.15	Total of 4 transactions
NETFLIX, INC. COMMON STOCK / CUSIP: 64110L106 / Symbol:							
5 transactions for 11/12/20. Total proceeds and cost reported to the IRS.							
	0.000	0.02	11/05/20	0.02	...	0.00	1 of 5 - Sale <sup>25</sup>
	0.000	0.01	11/09/20	0.01	...	0.00	2 of 5 - Sale <sup>25</sup>
	0.206	101.91	11/09/20	99.99	...	1.92	3 of 5 - Sale <sup>25</sup>
	0.105	52.04	11/09/20	50.00	...	2.04	4 of 5 - Sale <sup>25</sup>

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2020 1099-B\* OMB No. 1545-0715

(continued)

02/14/2021

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NETFLIX, INC. COMMON STOCK / CUSIP: 64110L106 / Symbol: (cont'd)							
	0.106	52.51	11/09/20	50.00	...	2.51	5 of 5 - Sale <sup>25</sup>
11/12/20	0.417	206.49	Various	200.02	...	6.47	Total of 5 transactions
11/12/20	0.294	145.84	11/05/20	149.98	4.14 W	0.00	Sale <sup>25</sup>
4 transactions for 12/14/20. Total proceeds and cost reported to the IRS.							
	0.294	150.78	12/08/20	154.50	...	-3.72	1 of 4 - Sale <sup>25</sup>
	0.097	49.78	12/08/20	49.64	...	0.14	2 of 4 - Sale <sup>25</sup>
	0.100	51.20	12/09/20	50.00	...	1.20	3 of 4 - Sale <sup>25</sup>
	0.100	51.22	12/09/20	50.00	...	1.22	4 of 4 - Sale <sup>25</sup>
12/14/20	0.591	302.98	Various	304.14	...	-1.16	Total of 4 transactions
	<b>Security total:</b>	<b>655.31</b>		<b>654.14</b>	<b>4.14 W</b>	<b>5.31</b>	
ORBCOMM INC. COMMON STOCK / CUSIP: 68555P100 / Symbol:							
08/10/20	20.000	85.80	10/31/19	80.10	...	5.70	Sale <sup>25</sup>
PFIZER INC. / CUSIP: 717081103 / Symbol:							
11/09/20	10.000	417.30	11/05/20	364.37	...	52.93	Sale <sup>25</sup>
12/01/20	10.000	390.91	11/18/20	365.50	...	25.41	Sale <sup>25</sup>
2 transactions for 12/02/20. Total proceeds and cost reported to the IRS.							
	3.000	122.28	12/01/20	118.29	...	3.99	1 of 2 - Sale <sup>25</sup>
	5.000	203.80	12/01/20	196.44	...	7.36	2 of 2 - Sale <sup>25</sup>
12/02/20	8.000	326.08	Various	314.73	...	11.35	Total of 2 transactions
2 transactions for 12/07/20. Total proceeds and cost reported to the IRS.							
	2.000	81.92	12/03/20	80.00	...	1.92	1 of 2 - Sale <sup>25</sup>
	5.000	204.81	12/03/20	201.69	...	3.12	2 of 2 - Sale <sup>25</sup>
12/07/20	7.000	286.73	Various	281.69	...	5.04	Total of 2 transactions
	<b>Security total:</b>	<b>1,421.02</b>		<b>1,326.29</b>	...	<b>94.73</b>	
PROSPECT CAPITAL CORPORATION C OMMON STOCK / CUSIP: 74348T102 / Symbol:							
08/10/20	1.000	5.15	07/08/20	4.83	...	0.32	Sale <sup>25</sup>
TESLA, INC. COMMON STOCK / CUSIP: 88160R101 / Symbol:							
11/16/20	1.000	453.11	11/16/20	406.20	...	46.91	Sale <sup>25</sup>
11/23/20	0.204	105.97	11/20/20	100.00	...	5.97	Sale <sup>25</sup>
11/30/20	0.512	309.08	11/27/20	300.00	...	9.08	Sale <sup>25</sup>

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Robinhood Securities LLC

Account 748731775

## Proceeds from Broker and Barter Exchange Transactions

2020 1099-B\* OMB No. 1545-0715

(continued)

02/14/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5)**

Report on Form 8949, Part I with Box A checked. Basis is provided to the IRS. (Line 12)

"Gain or loss (-)" is NOT reported to the IRS.

**1a- Description of property/CUSIP/Symbol**

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
TESLA, INC. COMMON STOCK / CUSIP: 88160R101 / Symbol: (cont'd)							
2 transactions for 12/03/20. Total proceeds and cost reported to the IRS.							
	0.257	150.89	11/30/20	150.00	...	0.89	1 of 2 - Sale <sup>25</sup>
	0.179	105.36	12/02/20	100.00	...	5.36	2 of 2 - Sale <sup>25</sup>
12/03/20	0.436	256.25	Various	250.00	...	6.25	Total of 2 transactions
	<b>Security total:</b>	<b>1,124.41</b>		<b>1,056.20</b>	...	<b>68.21</b>	
THERAPEUTICSMD, INC. COMMON STOCK / CUSIP: 88338N107 / Symbol:							
2 transactions for 11/16/20. Total proceeds and cost reported to the IRS.							
	50.000	65.06	06/24/20	60.00	...	5.06	1 of 2 - Sale <sup>25</sup>
	50.000	65.06	11/12/20	63.00	...	2.06	2 of 2 - Sale <sup>25</sup>
11/16/20	100.000	130.12	Various	123.00	...	7.12	Total of 2 transactions
2 transactions for 11/16/20. Total proceeds and cost reported to the IRS.							
	4.000	5.20	10/15/20	6.46	1.26 W	0.00	1 of 2 - Sale <sup>25</sup>
	50.000	65.06	11/05/20	65.44	0.38 W	0.00	2 of 2 - Sale <sup>25</sup>
11/16/20	54.000	70.26	Various	71.90	1.64 W	0.00	Total of 2 transactions
11/18/20	50.000	65.99	11/16/20	63.38	...	2.61	Sale <sup>25</sup>
11/18/20	4.000	5.28	11/12/20	6.18	0.90 W	0.00	Sale <sup>25</sup>
3 transactions for 12/28/20. Total proceeds and cost reported to the IRS.							
	4.000	4.81	11/16/20	5.94	...	-1.13	1 of 3 - Sale <sup>25</sup>
	50.000	60.17	12/09/20	58.00	...	2.17	2 of 3 - Sale <sup>25</sup>
	100.000	120.34	12/16/20	121.81	...	-1.47	3 of 3 - Sale <sup>25</sup>
12/28/20	154.000	185.32	Various	185.75	...	-0.43	Total of 3 transactions
	<b>Security total:</b>	<b>456.97</b>		<b>450.21</b>	<b>2.54 W</b>	<b>9.30</b>	
TWITTER, INC. / CUSIP: 90184L102 / Symbol:							
3 transactions for 11/20/20. Total proceeds and cost reported to the IRS.							
	5.000	219.80	11/09/20	217.50	...	2.30	1 of 3 - Sale <sup>25</sup>
	1.000	43.96	11/16/20	43.00	...	0.96	2 of 3 - Sale <sup>25</sup>
	2.000	87.90	11/16/20	86.00	...	1.90	3 of 3 - Sale <sup>25</sup>
11/20/20	8.000	351.66	Various	346.50	...	5.16	Total of 3 transactions

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Robinhood Securities LLC

Account 748731775

**Proceeds from Broker and Barter Exchange Transactions**

2020 1099-B\* OMB No. 1545-0715

(continued)

02/14/2021

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5)**

Report on Form 8949, Part I with Box A checked. Basis is provided to the IRS. (Line 12)

"Gain or loss (-)" is NOT reported to the IRS.

**1a- Description of property/CUSIP/Symbol**

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	7- Loss not allowed (X) also not reported (Z)	Gain or loss(-) & Additional information
UNIT CORPORATION / CUSIP: 909218109 / Symbol:							
2 transactions for 08/20/20. Total proceeds and cost reported to the IRS.							
	6.000	0.28	01/02/20	3.48	...	-3.20	1 of 2 - Sale <sup>25</sup>
	300.000	13.76	01/13/20	134.76	...	-121.00	2 of 2 - Sale <sup>25</sup>
08/20/20	306.000	14.04	Various	138.24	...	-124.20	Total of 2 transactions
<b>Totals :</b>		<b>47,159.21</b>		<b>53,844.27</b>	<b>4,107.64 W</b>	<b>-2,577.42</b>	

**LONG TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5)**

Report on Form 8949, Part II with Box D checked. Basis is provided to the IRS. (Line 12)

"Gain or loss (-)" is NOT reported to the IRS.

**1a- Description of property/CUSIP/Symbol**

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	7- Loss not allowed (X) also not reported (Z)	Gain or loss(-) & Additional information
THERAPEUTICSMD, INC. COMMON STOCK / CUSIP: 88338N107 / Symbol:							
4 transactions for 11/16/20. Total proceeds and cost reported to the IRS.							
	5.000	6.51	10/28/19	14.60	8.09 W	0.00	1 of 4 - Sale <sup>25</sup>
	1.000	1.30	10/28/19	3.90	2.60 W	0.00	2 of 4 - Sale <sup>25</sup>
	15.000	19.52	11/04/19	42.53	23.01 W	0.00	3 of 4 - Sale <sup>25</sup>
	25.000	32.53	11/05/19	65.75	33.22 W	0.00	4 of 4 - Sale <sup>25</sup>
11/16/20	46.000	59.86	Various	126.78	66.92 W	0.00	Total of 4 transactions
4 transactions for 11/18/20. Total proceeds and cost reported to the IRS.							
	1.000	1.32	11/12/20	3.83	2.51 W	0.00	1 of 4 - Sale <sup>25</sup>
	5.000	6.60	11/12/20	14.24	7.64 W	0.00	2 of 4 - Sale <sup>25</sup>
	15.000	19.80	11/12/20	41.46	21.66 W	0.00	3 of 4 - Sale <sup>25</sup>
	25.000	33.00	11/12/20	63.97	30.97 W	0.00	4 of 4 - Sale <sup>25</sup>
11/18/20	46.000	60.72	Various	123.50	62.78 W	0.00	Total of 4 transactions
4 transactions for 12/28/20. Total proceeds and cost reported to the IRS.							
	25.000	30.09	11/16/20	62.47	...	-32.38	1 of 4 - Sale <sup>25</sup>
	15.000	18.05	11/16/20	40.56	...	-22.51	2 of 4 - Sale <sup>25</sup>
	5.000	6.02	11/16/20	13.94	...	-7.92	3 of 4 - Sale <sup>25</sup>

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Robinhood Securities LLC

Account 748731775

## Proceeds from Broker and Barter Exchange Transactions

2020 1099-B\* OMB No. 1545-0715

(continued)

02/14/2021

**LONG TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5)**

Report on Form 8949, Part II with Box D checked. Basis is provided to the IRS. (Line 12)

"Gain or loss (-)" is NOT reported to the IRS.

**1a- Description of property/CUSIP/Symbol**

<b>1c- Date sold or disposed</b>	<b>Quantity</b>	<b>1d- Proceeds &amp; 6- Reported (G)ross or (N)et</b>	<b>1b- Date acquired</b>	<b>1e- Cost or other basis</b>	<b>1f- Accrued mkt disc (D) &amp; 1g- Wash sale loss disallowed (W)</b>	<b>Gain or loss(-) &amp; 7- Loss not allowed (X) also not reported (Z)</b>	<b>Additional information</b>
THERAPEUTICSMD, INC. COMMON STOCK / CUSIP: 88338N107 / Symbol: (cont'd)							
	1.000	1.20	11/16/20	3.77	...	-2.57	4 of 4 - Sale <sup>25</sup>
12/28/20	46.000	55.36	Various	120.74	...	-65.38	Total of 4 transactions
	<b>Security total:</b>	<b>175.94</b>		<b>371.02</b>	<b>129.70 W</b>	<b>-65.38</b>	
<b>Totals :</b>		<b>175.94</b>		<b>371.02</b>	<b>129.70 W</b>	<b>-65.38</b>	

\* This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported. Remember, taxpayers are ultimately responsible for the accuracy of their tax return(s).

Robinhood Securities LLC

Account 748731775

**Proceeds Not Reported to the IRS**

2020

02/14/2021

This section of your tax information statement provides proceeds transactions that are not reported to the IRS, but may have a tax impact. They are grouped by term (long, short or undetermined). For tax lots whose term is undetermined, use your historical documents to establish the cost basis and date of purchase.

Several columns include both an amount and a qualifying notation to its right. Where proceeds are the result of an option exercise or assignment, there is indication of whether the amount is N (net of option premium) or G (Gross). Accrued Market Discount and Wash Sale Loss Disallowed appear in the same column, identified by the letters D or W, respectively. Where you are not permitted to recognize a loss, an indication of X (change in control or capital structure) or Z (other corporate action) is used.

Some tax lots may have notations in the column of additional information because they require special treatment on your tax returns. Sales of securities such as Contingent Payment Debt Instruments (CPDI) are marked as "Ordinary" because gains and losses on these instruments generally do not qualify as short- or long-term capital transactions. Similarly, sales of collectibles, noted as "3 - Proceeds from Collectibles [X]" are handled distinctly under the tax code. You may wish to consult with your tax advisor, the IRS or your state tax authority regarding the proper treatment for these scenarios. With further regard to Box 3, there is also a checkmark to indicate the proceeds of sale are from a Qualified Opportunity Zone Fund investment - a QOF. If the proceeds are from a QOF the Additional Information column will reflect the following - "3 - [X] Proceeds from QOF." The tax treatment for QOF investments can be complex and you may wish to consult your tax advisor about such sales.

**SHORT TERM TRANSACTIONS [Ordinary gains or losses are identified in the Additional information column]**

Report on Form 8949, Part I, with Box C checked.

**Description of property**

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
CHESAPEAKE ENERGY CORP COMMON STOCK / CUSIP: 165167743 / Symbol:							
2 transactions for 04/27/20							
	0.100	1.63	11/08/19	18.02	...	-16.39	Gain or loss
	0.300	4.87	11/18/19	39.00	...	-34.13	Gain or loss
04/27/20	0.400	6.50	Various	57.02	...	-50.52	Total of 2 transactions
<b>Totals:</b>		<b>6.50</b>		<b>57.02</b>	...	<b>-50.52</b>	

Robinhood Securities LLC

Account 748731775

## Detail for Dividends and Distributions

2020

02/14/2021

This section of your tax information statement contains the payment level detail of your taxable dividends, capital gains distributions, Section 199A dividends, exempt-interest dividends, nondividend distributions and liquidation distributions. Also shown are the fair market values of any taxable stock dividends or noncash liquidation distributions.

Federal, state and foreign tax withheld and investment expenses are presented as negative amounts but do not net against the reportable income totals. All amounts are grouped by security, with the transactions listed in chronological order. Subtotals for each security are provided. For situations in which the tax character of a distribution (or part thereof) is different than at the time it was paid, endnotes are provided for further explanation.

Note that a payment characterized as a "Qualified dividend" is only issuer-qualified.

Security description	CUSIP and/or symbol	State	Date	Amount	Transaction type	Notes
APPLE INC. COMMON STOCK	037833100		11/12/20	1.76	Qualified dividend	
GENERAL ELECTRIC COMPANY	369604103		07/27/20	0.21	Qualified dividend	
MICROSOFT CORPORATION COMMON S TOCK	594918104		12/10/20	1.12	Qualified dividend	
PROSPECT CAPITAL CORPORATION C OMMON STOCK	74348T102		08/20/20	0.06	Qualified dividend	
			12/24/20	0.06	Qualified dividend	
			01/21/21	0.06	Qualified dividend	
				<b>0.18</b>	<b>Total Dividends &amp; distributions</b>	
				<b>3.27</b>	<b>Total Dividends &amp; distributions</b>	

Robinhood Securities LLC

Account 748731775

**Fees and Expenses**

2020

02/14/2021

*This section of your tax information statement may contain the detail of fees and investment expenses that are not accounted for in amounts reportable to the IRS on the various Forms 1099. You may wish to consult with your tax advisor, the IRS or your state tax authority regarding the proper treatment.*

*These amounts are provided here to facilitate an accounting of all amounts received during the year and are totaled in the Reconciliations, Fees, Expenses and Expenditures found in the Summary Information at the beginning of the statement.*

Description	CUSIP and/or symbol	Date	Amount	Transaction type	Notes
		06/22/20	-5.00	Margin interest paid	
		07/22/20	-5.00	Margin interest paid	
		10/19/20	-5.00	Margin interest paid	
		11/18/20	-5.00	Margin interest paid	
		12/18/20	-5.00	Margin interest paid	
			-25.00	Total Margin interest paid	
			<b>-25.00</b>	<b>Total Margin interest paid</b>	

25 Tax lot closed on a first in first out basis.

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**Common Instructions for Recipient**

**Recipient's taxpayer identification number (TIN).** For your protection, this form may show only the last four digits of your TIN (social security number (SSN), individual taxpayer identification number (ITIN), adoption taxpayer identification number (ATIN), or employer identification number (EIN)). However, the issuer has reported your complete TIN to the IRS.

**Account number.** May show an account or other unique number the payer assigned to distinguish your account.

**Backup Withholding.** Shows backup withholding. Generally, a payer must backup withhold if you did not furnish your taxpayer identification number. See Form W-9 and Pub. 505 for more information. Report this amount on your income tax return as tax withheld.

**Nominees.** If this 1099 form includes amounts belonging to another person, you are considered a nominee recipient. You must file as the "payer" the respective Form 1099 (DIV, INT, or OID) Copy A (with a Form 1096) to the IRS for each of the other owners as recipient(s) to show their allocable share of the income and you must furnish the respective Copy B Form(s) and amounts to each owner. A spouse is not required to file a nominee return to show amounts owned by the other spouse. See the General Instructions for Certain Information Returns.

**FATCA filing requirement.** If the FATCA filing requirement box is checked, the payer is reporting on Form 1099 to satisfy its chapter 4 account reporting requirement. You also may have a filing requirement. See the Instructions for Form 8938.

**Keep tax documents for your records.****1099-DIV Instructions for Recipient**

**Recipient's taxpayer identification number (TIN).** For your protection, this form may show only the last four digits of your TIN (social security number (SSN), individual taxpayer identification number (ITIN), adoption taxpayer identification number (ATIN), or employer identification number (EIN)). However, the issuer has reported your complete TIN to the IRS.

**FATCA filing requirement.** If the FATCA filing requirement box is checked, the payer is reporting on this Form 1099 to satisfy its chapter 4 account reporting requirement. You also may have a filing requirement. See the Instructions for Form 8938.

**Account number.** May show an account or other unique number the payer assigned to distinguish your account.

**Line 1a.** Shows total ordinary dividends that are taxable. Include this amount on the "Ordinary dividends" line of Form 1040 or 1040-SR. Also, report it on Schedule B (Form 1040 or 1040-SR), if required.

**Line 1b.** Shows the portion of the amount in line 1a that may be eligible for reduced capital gains rates. See the Instructions for Forms 1040 and 1040-SR for how to determine this amount and where to report. The amount shown may be dividends a corporation paid directly to you as a participant (or beneficiary of a participant) in an employee stock ownership plan (ESOP). Report it as a dividend on your Form 1040 or 1040-SR but treat it as a plan distribution, not as investment income, for any other purpose.

**Line 2a.** Shows total capital gain distributions from a regulated investment company (RIC) or real estate investment trust (REIT). See How To Report in the Instructions for Schedule D (Form 1040 or 1040-SR). But, if no amount is shown in lines 2c and 2d and your only capital gains and losses are capital gain distributions, you may be able to report the amounts shown in line 2a on your Form 1040 or 1040-SR rather than Schedule D. See the Instructions for Forms 1040 and 1040-SR.

**Line 2b.** Shows the portion of the amount in line 2a that is unrecaptured section 1250 gain from certain depreciable real property. See the Unrecaptured Section 1250 Gain Worksheet in the Instructions for Schedule D (Form 1040 or 1040-SR).

**Line 2c.** Shows the portion of the amount in line 2a that is section 1202 gain from certain small business stock that may be subject to an exclusion. See the Schedule D (Form 1040 or 1040-SR) instructions.

**Line 2d.** Shows 28% rate gain from sales or exchanges of collectibles. If required, use this amount when completing the 28% Rate Gain Worksheet in the Instructions for Schedule D (Form 1040 or 1040-SR).

**Line 3.** Shows a return of capital. To the extent of your cost (or other basis) in the stock, the distribution reduces your basis and is not taxable. Any amount received in excess of your basis is taxable to you as capital gain. See Pub. 550.

**Line 4.** Shows backup withholding. A payer must backup withhold on certain payments if you did not give your TIN to the payer. See Form W-9, Request for Taxpayer Identification Number and Certification, for information on backup withholding. Include this amount on your income tax return as tax withheld.

**Line 5.** Shows the portion of the amount in line 1a that may be eligible for the 20% qualified business income deduction under section 199A. See the instructions for Form 8995 and Form 8995-A.

**Instructions for Recipient**

**Line 6.** Shows your share of expenses of a nonpublicly offered RIC, generally a nonpublicly offered mutual fund. This amount is included in line 1a.

**Line 7.** Shows the foreign tax that you may be able to claim as a deduction or a credit on Form 1040 or 1040-SR. See the Instructions for Forms 1040 and 1040-SR.

**Line 8.** This line should be left blank if a RIC reported the foreign tax shown in line 7.

**Lines 9 and 10.** Show cash and noncash liquidation distributions.

**Line 11.** Shows exempt-interest dividends from a mutual fund or other RIC paid to you during the calendar year. See the Instructions for Forms 1040 and 1040-SR for where to report. This amount may be subject to backup withholding. See line 4 above.

**Line 12.** Shows exempt-interest dividends subject to the alternative minimum tax. This amount is included in line 11. See the Instructions for Form 6251.

**Lines 13-15.** State income tax withheld reporting lines. Nominees. If this form includes amounts belonging to another person, you are considered a nominee recipient. You must file Form 1099-DIV (with a Form 1096) with the IRS for each of the other owners to show their share of the income, and you must furnish a Form 1099-DIV to each. A spouse is not required to file a nominee return to show amounts owned by the other spouse. See the 2020 General Instructions for Certain Information Returns. Future developments. For the latest information about developments related to Form 1099-DIV and its instructions, such as legislation enacted after they were published, go to [www.irs.gov/Form1099DIV](http://www.irs.gov/Form1099DIV).

**1099-B Instructions for Recipient**

Brokers and barter exchanges must report proceeds from (and in some cases, basis for) transactions to you and the IRS on Form 1099-B. Reporting is also required when your broker knows or has reason to know that a corporation in which you own stock has had a reportable change in control or capital structure. You may be required to recognize gain from the receipt of cash, stock, or other property that was exchanged for the corporation's stock. If your broker reported this type of transaction to you, the corporation is identified in box 1a.

**Recipient's taxpayer identification number (TIN).** For your protection, this form may show only the last four digits of your TIN (social security number (SSN), individual taxpayer identification number (ITIN), adoption taxpayer identification number (ATIN), or employer identification number (EIN)). However, the issuer has reported your complete TIN to the IRS.

**Account number.** May show an account or other unique number the payer assigned to distinguish your account.

**CUSIP number.** Shows the CUSIP (Committee on Uniform Security Identification Procedures) number or other applicable identifying number.

**FATCA filing requirement.** If the FATCA filing requirement box is checked, the payer is reporting on this Form 1099 to satisfy its chapter 4 account reporting requirement. You also may have a filing requirement. See the Instructions for Form 8938.

**Applicable checkbox on Form 8949.** Indicates where to report this transaction on Form 8949 and Schedule D (Form 1040 or 1040-SR), and which checkbox is applicable. See the instructions for your Schedule D (Form 1040 or 1040-SR) and/or Form 8949.

**Line 1a.** Shows a brief description of the item or service for which amounts are being reported. For regulated futures contracts and forward contracts, "RFC" or other appropriate description may be shown. For Section 1256 option contracts, "Section 1256 option" or other appropriate description may be shown. For a corporation that had a reportable change in control or capital structure, this box may show the class of stock as C (common), P (preferred), or O (other).

**Line 1b.** This box may be blank if box 5 is checked or if the securities sold were acquired on a variety of dates. For short sales, the date shown is the date you acquired the security delivered to close the short sale.

**Line 1c.** Shows the trade date of the sale or exchange. For short sales, the date shown is the date the security was delivered to close the short sale. For aggregate reporting in boxes 8 through 11, no entry will be present.

**Line 1d.** Shows the cash proceeds, reduced by any commissions or transfer taxes related to the sale, for transactions involving stocks, debt, commodities, forward contracts, non-Section 1256 option contracts, or securities futures contracts. May show the proceeds from the disposition of your interest(s) in a widely held fixed investment trust. May also show the aggregate amount of cash and the fair market value of any stock or other property received in a reportable change in control or capital structure arising from the corporate transfer of property to a foreign corporation. Losses on forward contracts or non-Section 1256 option contracts are shown in parentheses. This box does not include proceeds from regulated futures contracts or Section 1256 option contracts. Report this amount on Form 8949 or on Schedule D (Form 1040 or 1040-SR) (whichever is applicable) as explained in the Instructions for Schedule D (Form 1040 or 1040-SR).

**Line 1e.** Shows the cost or other basis of securities sold. If the securities were acquired through the exercise of a noncompensatory option granted or acquired on or after January 1, 2014, the basis has been adjusted to reflect your option premium. If the

securities were acquired through the exercise of a noncompensatory option granted or acquired before January 1, 2014, your broker is permitted, but not required, to adjust the basis to reflect your option premium. If the securities were acquired through the exercise of a compensatory option, the basis has not been adjusted to include any amount related to the option that was reported to you on a Form W-2. If box 5 is checked, box 1e may be blank. See the Instructions for Form 8949, the Instructions for Schedule D (Form 1040 or 1040-SR), or Pub. 550 for details.

**Box 1f.** Shows the amount of accrued market discount. For details on market discount, see the Schedule D (Form 1040 or 1040-SR) instructions, the Instructions for Form 8949, and Pub. 550. If box 5 is checked, box 1f may be blank.

**Line 1g.** Shows the amount of nondeductible loss in a wash sale transaction. For details on wash sales, see the Schedule D (Form 1040 or 1040-SR) instructions, the Instructions for Form 8949, and Pub. 550. If box 5 is checked, box 1g may be blank.

**Line 2.** The short-term and long-term boxes pertain to short-term gain or loss and long-term gain or loss. If the "Ordinary" box is checked, your security may be subject to special rules. For example, gain on a contingent payment debt instrument subject to the noncontingent bond method generally is treated as ordinary interest income rather than as capital gain. See the Instructions for Form 8949, Pub. 550, or Pub. 1212 for more details on whether there are any special rules or adjustments that might apply to your security. If box 5 is checked, box 2 may be blank.

**Line 3.** If checked, proceeds are from a transaction involving collectibles or from a Qualified Opportunity Fund (QOF).

**Line 4.** Shows backup withholding. Generally, a payer must backup withhold if you did not furnish your TIN to the payer. See Form W-9 for information on backup withholding. Include this amount on your income tax return as tax withheld.

**Line 5.** If checked, the securities sold were noncovered securities and boxes 1b, 1e, 1f, 1g, and 2 may be blank. Generally, a noncovered security means: stock purchased before 2011, stock in most mutual funds purchased before 2012, stock purchased in or transferred to a dividend reinvestment plan before 2012, debt acquired before 2014, options granted or acquired before 2014, and securities futures contracts entered into before 2014.

**Line 6.** If the exercise of a noncompensatory option resulted in a sale of a security, a checked "net proceeds" box indicates whether the amount in box 1d was adjusted for option premium.

**Line 7.** If checked, you cannot take a loss on your tax return based on gross proceeds from a reportable change in control or capital structure reported in box 1d. See the Form 8949 and Schedule D (Form 1040 or 1040-SR) instructions. The broker should advise you of any losses on a separate statement.

**Line 12.** If checked, the basis in box 1e has been reported to the IRS and either the short-term or the long-term gain or loss box in box 2 will be checked. If box 12 is checked on Form(s) 1099-B and NO adjustment is required, see the instructions for your Schedule D (Form 1040 or 1040-SR) as you may be able to report your transaction directly on Schedule D (Form 1040 or 1040-SR). If the "Ordinary" box in box 2 is checked, an adjustment may be required.

**Line 13.** Shows the cash you received, the fair market value of any property or services you received, and the fair market value of any trade credits or scrip credited to your account by a barter exchange. See Pub. 525.

**Lines 14-16.** Show state(s)/local income tax information.

**Future developments.** For the latest information about any developments related to Form 1099-B and its instructions, such as legislation enacted after they were published, go to [www.irs.gov/Form1099B](http://www.irs.gov/Form1099B).

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