

Robinhood Securities LLC 500 Colonial Center Parkway Suite 100 Lake Mary, FL 32746 Customer Service: 650-940-2700 PAYER'S TIN: 38-4019216	Tax Information Account 119938009	Statement Date: 02/14/2021 Document ID: 103T 101 1FC3	2020
	Ranjith Kudumula 9I Garden terrace North Arlington, NJ 07031 RECIPIENT'S TIN: XXX-XX-2818		

Summary Information

<p>DIVIDENDS AND DISTRIBUTIONS 2020 1099-DIV* OMB No. 1545-0110</p> <p>1a- Total ordinary dividends (includes lines 1b, 5) 44.66</p> <p>1b- Qualified dividends 0.34</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 0.47</p> <p>4- Federal income tax withheld 0.00</p> <p>5- Section 199A dividends 44.32</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>MISCELLANEOUS INCOME 2020 1099-MISC* OMB No. 1545-0115</p> <p>2- Royalties 0.00</p> <p>3- Other income 0.00</p> <p>4- Federal income tax withheld 0.00</p> <p>8- Substitute payments in lieu of dividends or interest 0.00</p> <p>SECTION 1256 CONTRACTS 2020 1099-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)	226,425.45	245,854.32	0.00	18,677.78	-751.09
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)	0.00	0.00	0.00	0.00	0.00
	Total Short-term	226,425.45	245,854.32	0.00	18,677.78	-751.09
Long	D (basis reported to the IRS)	325.41	3,092.83	0.00	2,186.44	-580.98
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
	Total Long-term	325.41	3,092.83	0.00	2,186.44	-580.98
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
	Total Undetermined-term	0.00	0.00	0.00	0.00	0.00
	Grand total	226,750.86	248,947.15	0.00	20,864.22	-1,332.07
Withholding		Amount				
	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 119938009

Summary Information

2020

(continued)

02/14/2021

INTEREST INCOME

2020 1099-INT

OMB No. 1545-0112

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1- Interest income (not included in line 3)	0.29
2- Early withdrawal penalty	0.00
3- Interest on US Savings Bonds & Treasury obligations	0.00
4- Federal income tax withheld	0.00
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	See detail

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	0.00
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

Robinhood Securities LLC

Account 119938009

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
AAPL 01/15/2021 CALL \$135.00 / CUSIP: / Symbol: 12/01/20	1.000	203.98	11/30/20	138.00	...	65.98	Option sale to close-call ²⁵
AAPL 06/26/2020 CALL \$380.00 / CUSIP: / Symbol: 06/16/20	1.000	69.98	06/15/20	48.00	...	21.98	Option sale to close-call ²⁵
AAPL 07/10/2020 CALL \$375.00 / CUSIP: / Symbol: 07/06/20	1.000	352.98	07/02/20	203.00	...	149.98	Option sale to close-call ²⁵
AAPL 07/17/2020 CALL \$400.00 / CUSIP: / Symbol: 2 transactions for 07/09/20. Total proceeds and cost reported to the IRS.	1.000	190.99	06/23/20	236.00	...	-45.01	1 of 2 - Option sale to close-call ²⁵
	1.000	190.99	06/30/20	84.00	...	106.99	2 of 2 - Option sale to close-call ²⁵
07/09/20	2.000	381.98	Various	320.00	...	61.98	Total of 2 transactions

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Robinhood Securities LLC

Account 119938009

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 07/17/2020 CALL \$410.00 / CUSIP: / Symbol:							
07/15/20	1.000	117.98	07/14/20	53.00	...	64.98	Option sale to close-call ²⁵
07/16/20	1.000	14.98	07/15/20	48.00	...	-33.02	Option sale to close-call ²⁵
	Security total:	132.96		101.00	...	31.96	
AAPL 09/18/2020 CALL \$125.00 / CUSIP: / Symbol:							
09/08/20	1.000	289.98	09/08/20	234.00	...	55.98	Option sale to close-call ²⁵
09/15/20	1.000	46.98	09/08/20	215.00	...	-168.02	Option sale to close-call ²⁵
	Security total:	336.96		449.00	...	-112.04	
AAPL 09/25/2020 CALL \$115.00 / CUSIP: / Symbol:							
3 transactions for 09/22/20. Total proceeds and cost reported to the IRS.							
	5.000	619.97	09/21/20	220.00	...	399.97	1 of 3 - Option sale to close-call ²⁵
	1.000	107.98	09/22/20	100.00	...	7.98	2 of 3 - Option sale to close-call ²⁵
	4.000	431.98	09/22/20	400.00	...	31.98	3 of 3 - Option sale to close-call ²⁵
09/22/20	10.000	1,159.93	Various	720.00	...	439.93	Total of 3 transactions
AAPL 10/16/2020 CALL \$122.50 / CUSIP: / Symbol:							
3 transactions for 09/21/20. Total proceeds and cost reported to the IRS.							
	1.000	99.98	09/10/20	1,000.02	900.04 W	0.00	1 of 3 - Option sale to close-call ²⁵
	1.000	99.98	09/10/20	1,250.04	1,150.06 W	0.00	2 of 3 - Option sale to close-call ²⁵
	1.000	99.98	09/10/20	605.00	505.02 W	0.00	3 of 3 - Option sale to close-call ²⁵
09/21/20	3.000	299.94	Various	2,855.06	2,555.12 W	0.00	Total of 3 transactions
10/12/20	1.000	288.98	09/16/20	1,358.08	...	-1,069.10	Option sale to close-call ²⁵
10/12/20	1.000	292.98	09/16/20	1,407.06	1,114.08 W	0.00	Option sale to close-call ²⁵
	Security total:	881.90		5,620.20	3,669.20 W	-1,069.10	
AAPL 10/16/2020 CALL \$123.00 / CUSIP: / Symbol:							
10/12/20	1.000	354.98	10/12/20	262.00	...	92.98	Option sale to close-call ²⁵
AAPL 10/16/2020 CALL \$125.00 / CUSIP: / Symbol:							
09/21/20	1.000	77.99	09/16/20	205.00	...	-127.01	Option sale to close-call ²⁵
09/21/20	1.000	77.99	09/15/20	272.00	194.01 W	0.00	Option sale to close-call ²⁵
10/12/20	1.000	185.98	09/16/20	380.01	...	-194.03	Option sale to close-call ²⁵
	Security total:	341.96		857.01	194.01 W	-321.04	

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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 10/16/2020 CALL \$150.00 / CUSIP: / Symbol:							
09/01/20	1.000	384.98	08/31/20	310.00	...	74.98	Option sale to close-call ²⁵
ABBV 12/11/2020 CALL \$112.00 / CUSIP: / Symbol:							
12/09/20	1.000	4.98	12/08/20	10.00	...	-5.02	Option sale to close-call ²⁵
ACB 12/11/2020 CALL \$13.50 / CUSIP: / Symbol:							
11/30/20	1.000	169.98	11/30/20	117.00	...	52.98	Option sale to close-call ²⁵
ADBE 08/14/2020 CALL \$465.00 / CUSIP: / Symbol:							
08/06/20	1.000	529.97	08/05/20	355.00	...	174.97	Option sale to close-call ²⁵
AMC 12/11/2020 CALL \$4.00 / CUSIP: / Symbol:							
11/09/20	1.000	77.98	11/09/20	74.00	...	3.98	Option sale to close-call ²⁵
AMD 07/02/2020 CALL \$54.00 / CUSIP: / Symbol:							
4 transactions for 07/02/20. Total proceeds and cost reported to the IRS.							
	1.000	0.00	06/24/20	162.00	...	-162.00	1 of 4 - Option expiration- long call
	1.000	0.00	06/24/20	110.00	...	-110.00	2 of 4 - Option expiration- long call
	1.000	0.00	06/24/20	110.00	...	-110.00	3 of 4 - Option expiration- long call
	1.000	0.00	06/30/20	27.00	...	-27.00	4 of 4 - Option expiration- long call
07/02/20	4.000	0.00	Various	409.00	...	-409.00	Total of 4 transactions
AMD 09/18/2020 CALL \$100.00 / CUSIP: / Symbol:							
09/14/20	1.000	1.98	09/11/20	3.00	...	-1.02	Option sale to close-call ²⁵
APPS 09/18/2020 CALL \$30.00 / CUSIP: / Symbol:							
08/31/20	1.000	92.98	08/28/20	90.00	...	2.98	Option sale to close-call ²⁵
APRN 07/17/2020 CALL \$15.00 / CUSIP: / Symbol:							
07/06/20	2.000	79.98	06/25/20	80.00	...	-0.02	Option sale to close-call ²⁵
APRN 12/18/2020 CALL \$8.00 / CUSIP: / Symbol:							
2 transactions for 11/27/20. Total proceeds and cost reported to the IRS.							
	1.000	24.99	11/20/20	35.00	...	-10.01	1 of 2 - Option sale to close-call ²⁵
	1.000	24.99	11/20/20	35.00	...	-10.01	2 of 2 - Option sale to close-call ²⁵
11/27/20	2.000	49.98	Various	70.00	...	-20.02	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

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)

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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
ATVI 08/21/2020 PUT \$83.00 / CUSIP: / Symbol:							
08/10/20	1.000	319.98	08/06/20	98.00	...	221.98	Option sale to close-put ²⁵
ATVI 12/18/2020 CALL \$86.00 / CUSIP: / Symbol:							
12/14/20	1.000	90.98	12/10/20	82.00	...	8.98	Option sale to close-call ²⁵
BA 06/19/2020 CALL \$230.00 / CUSIP: / Symbol:							
06/17/20	1.000	56.98	06/16/20	124.00	...	-67.02	Option sale to close-call ²⁵
BABA 10/16/2020 CALL \$300.00 / CUSIP: / Symbol:							
2 transactions for 10/02/20. Total proceeds and cost reported to the IRS.							
	1.000	474.98	09/30/20	575.00	...	-100.02	1 of 2 - Option sale to close-call ²⁵
	1.000	474.98	10/01/20	450.00	...	24.98	2 of 2 - Option sale to close-call ²⁵
10/02/20	2.000	949.96	Various	1,025.00	...	-75.04	Total of 2 transactions
BABA 11/27/2020 CALL \$292.50 / CUSIP: / Symbol:							
11/17/20	1.000	57.98	11/16/20	81.00	...	-23.02	Option sale to close-call ²⁵
BABA 11/27/2020 CALL \$310.00 / CUSIP: / Symbol:							
11/20/20	2.000	35.98	11/19/20	38.00	...	-2.02	Option sale to close-call ²⁵
BIG 07/17/2020 CALL \$50.00 / CUSIP: / Symbol:							
06/30/20	1.000	24.98	06/29/20	70.00	...	-45.02	Option sale to close-call ²⁵
BJ 07/17/2020 CALL \$40.00 / CUSIP: / Symbol:							
06/30/20	1.000	54.98	06/29/20	80.00	...	-25.02	Option sale to close-call ²⁵
BLNK 12/11/2020 CALL \$28.00 / CUSIP: / Symbol:							
12/07/20	1.000	184.98	12/07/20	170.00	...	14.98	Option sale to close-call ²⁵
BLNK 12/18/2020 PUT \$15.00 / CUSIP: / Symbol:							
11/24/20	1.000	84.98	11/23/20	190.04	...	-105.06	Option sale to close-put ²⁵
2 transactions for 11/24/20. Total proceeds and cost reported to the IRS.							
	1.000	94.98	11/20/20	160.00	65.02 W	0.00	1 of 2 - Option sale to close-put ²⁵
	1.000	94.98	11/20/20	205.02	110.04 W	0.00	2 of 2 - Option sale to close-put ²⁵
11/24/20	2.000	189.96	Various	365.02	175.06 W	0.00	Total of 2 transactions
Security total:		274.94		555.06	175.06 W	-105.06	

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BOX 07/17/2020 CALL \$22.00 / CUSIP: / Symbol:							
2 transactions for 07/10/20. Total proceeds and cost reported to the IRS.							
	1.000	29.99	07/09/20	30.00	...	-0.01	1 of 2 - Option sale to close-call ²⁵
	1.000	29.99	07/09/20	30.00	...	-0.01	2 of 2 - Option sale to close-call ²⁵
07/10/20	2.000	59.98	Various	60.00	...	-0.02	Total of 2 transactions
BYND 06/26/2020 CALL \$200.00 / CUSIP: / Symbol:							
06/19/20	1.000	122.98	06/17/20	111.00	...	11.98	Option sale to close-call ²⁵
BYND 07/17/2020 CALL \$160.00 / CUSIP: / Symbol:							
2 transactions for 07/10/20. Total proceeds and cost reported to the IRS.							
	1.000	62.99	07/07/20	247.00	...	-184.01	1 of 2 - Option sale to close-call ²⁵
	1.000	62.99	07/09/20	112.00	...	-49.01	2 of 2 - Option sale to close-call ²⁵
07/10/20	2.000	125.98	Various	359.00	...	-233.02	Total of 2 transactions
BYND 09/18/2020 CALL \$150.00 / CUSIP: / Symbol:							
08/28/20	1.000	217.98	08/27/20	410.00	...	-192.02	Option sale to close-call ²⁵
BYND 10/23/2020 CALL \$200.00 / CUSIP: / Symbol:							
10/19/20	1.000	152.98	10/16/20	135.00	...	17.98	Option sale to close-call ²⁵
CALX 08/21/2020 CALL \$25.00 / CUSIP: / Symbol:							
2 transactions for 08/21/20. Total proceeds and cost reported to the IRS.							
	1.000	0.00	08/03/20	65.00	...	-65.00	1 of 2 - Option expiration- long call
	1.000	0.00	08/10/20	25.00	...	-25.00	2 of 2 - Option expiration- long call
08/21/20	2.000	0.00	Various	90.00	...	-90.00	Total of 2 transactions
CEMI 07/17/2020 CALL \$5.00 / CUSIP: / Symbol:							
2 transactions for 07/09/20. Total proceeds and cost reported to the IRS.							
	1.000	39.99	07/08/20	13.00	...	26.99	1 of 2 - Option sale to close-call ²⁵
	1.000	40.00	07/08/20	13.00	...	27.00	2 of 2 - Option sale to close-call ²⁵
07/09/20	2.000	79.99	Various	26.00	...	53.99	Total of 2 transactions
07/09/20	1.000	39.99	07/06/20	59.00	19.01 W	0.00	Option sale to close-call ²⁵
2 transactions for 07/13/20. Total proceeds and cost reported to the IRS.							
	1.000	37.99	07/10/20	34.00	...	3.99	1 of 2 - Option sale to close-call ²⁵

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Robinhood Securities LLC

Account 119938009

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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CEMI 07/17/2020 CALL \$5.00 / CUSIP: / Symbol: (cont'd)							
	1.000	38.00	07/10/20	32.00	...	6.00	2 of 2 - Option sale to close-call ²⁵
07/13/20	2.000	75.99	Various	66.00	...	9.99	Total of 2 transactions
07/13/20	1.000	37.99	07/10/20	51.01	13.02 W	0.00	Option sale to close-call ²⁵
07/15/20	1.000	59.98	07/14/20	43.02	...	16.96	Option sale to close-call ²⁵
	Security total:	293.94		245.03	32.03 W	80.94	
CEMI 09/18/2020 CALL \$5.00 / CUSIP: / Symbol:							
	2 transactions for 09/01/20. Total proceeds and cost reported to the IRS.						
	1.000	44.99	08/25/20	90.00	...	-45.01	1 of 2 - Option sale to close-call ²⁵
	1.000	44.99	08/27/20	60.00	...	-15.01	2 of 2 - Option sale to close-call ²⁵
09/01/20	2.000	89.98	Various	150.00	...	-60.02	Total of 2 transactions
CHD 08/21/2020 CALL \$100.00 / CUSIP: / Symbol:							
08/05/20	1.000	54.98	08/04/20	55.00	...	-0.02	Option sale to close-call ²⁵
CHWY 08/28/2020 CALL \$52.00 / CUSIP: / Symbol:							
08/03/20	1.000	509.97	07/20/20	284.00	...	225.97	Option sale to close-call ²⁵
CIEN 08/07/2020 CALL \$57.00 / CUSIP: / Symbol:							
07/13/20	1.000	113.98	07/09/20	170.00	...	-56.02	Option sale to close-call ²⁵
CIT 01/15/2021 CALL \$37.00 / CUSIP: / Symbol:							
11/16/20	1.000	164.98	11/12/20	115.00	...	49.98	Option sale to close-call ²⁵
CRM 07/17/2020 CALL \$200.00 / CUSIP: / Symbol:							
06/23/20	1.000	419.98	06/22/20	330.00	...	89.98	Option sale to close-call ²⁵
CRM 09/18/2020 CALL \$290.00 / CUSIP: / Symbol:							
08/27/20	1.000	474.97	08/26/20	249.00	...	225.97	Option sale to close-call ²⁵
CRM 09/18/2020 CALL \$300.00 / CUSIP: / Symbol:							
08/28/20	1.000	409.98	08/27/20	355.00	...	54.98	Option sale to close-call ²⁵
09/02/20	1.000	474.97	09/01/20	283.00	...	191.97	Option sale to close-call ²⁵
	Security total:	884.95		638.00	...	246.95	

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CRM 11/06/2020 CALL \$300.00 / CUSIP: / Symbol:							
10/02/20	1.000	149.98	10/01/20	250.00	...	-100.02	Option sale to close-call ²⁵
CRM 12/04/2020 CALL \$300.00 / CUSIP: / Symbol:							
12/02/20	1.000	0.98	12/01/20	58.00	...	-57.02	Option sale to close-call ²⁵
CRWD 01/08/2021 CALL \$225.00 / CUSIP: / Symbol:							
12/29/20	1.000	186.98	12/29/20	167.00	...	19.98	Option sale to close-call ²⁵
CRWD 12/18/2020 CALL \$200.00 / CUSIP: / Symbol:							
12/15/20	1.000	5.98	12/10/20	124.00	...	-118.02	Option sale to close-call ²⁵
DD 07/31/2020 CALL \$55.50 / CUSIP: / Symbol:							
2 transactions for 07/17/20. Total proceeds and cost reported to the IRS.							
	1.000	152.99	07/16/20	185.00	...	-32.01	1 of 2 - Option sale to close-call ²⁵
	1.000	152.99	07/16/20	179.00	...	-26.01	2 of 2 - Option sale to close-call ²⁵
07/17/20	2.000	305.98	Various	364.00	...	-58.02	Total of 2 transactions
DIS 12/18/2020 CALL \$200.00 / CUSIP: / Symbol:							
2 transactions for 12/14/20. Total proceeds and cost reported to the IRS.							
	1.000	17.00	12/14/20	16.00	...	1.00	1 of 2 - Option sale to close-call ²⁵
	4.000	67.98	12/14/20	64.00	...	3.98	2 of 2 - Option sale to close-call ²⁵
12/14/20	5.000	84.98	Various	80.00	...	4.98	Total of 2 transactions
DKNG 07/02/2020 CALL \$50.00 / CUSIP: / Symbol:							
5 transactions for 06/23/20. Total proceeds and cost reported to the IRS.							
	1.000	24.98	06/22/20	142.02	...	-117.04	1 of 5 - Option sale to close-call ²⁵
	1.000	24.98	06/22/20	142.01	...	-117.03	2 of 5 - Option sale to close-call ²⁵
	1.000	24.98	06/22/20	100.01	...	-75.03	3 of 5 - Option sale to close-call ²⁵
	1.000	24.98	06/22/20	50.00	...	-25.02	4 of 5 - Option sale to close-call ²⁵
	1.000	24.98	06/22/20	50.00	...	-25.02	5 of 5 - Option sale to close-call ²⁵
06/23/20	5.000	124.90	Various	484.04	...	-359.14	Total of 5 transactions
4 transactions for 06/23/20. Total proceeds and cost reported to the IRS.							
	2.000	59.98	06/22/20	144.00	84.02 W	0.00	1 of 4 - Option sale to close-call ²⁵
	1.000	24.99	06/22/20	117.01	92.02 W	0.00	2 of 4 - Option sale to close-call ²⁵
	1.000	25.00	06/22/20	117.01	92.01 W	0.00	3 of 4 - Option sale to close-call ²⁵

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2020 1099-B* OMB No. 1545-0715

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DKNG 07/02/2020 CALL \$50.00 / CUSIP: / Symbol: (cont'd)							
	1.000	24.99	06/22/20	75.00	50.01 W	0.00	4 of 4 - Option sale to close-call ²⁵
06/23/20	5.000	134.96	Various	453.02	318.06 W	0.00	Total of 4 transactions
	Security total:	259.86		937.06	318.06 W	-359.14	
DKNG 11/13/2020 CALL \$50.00 / CUSIP: / Symbol:							
11/05/20	1.000	74.98	11/05/20	49.00	...	25.98	Option sale to close-call ²⁵
DKNG 12/18/2020 CALL \$55.00 / CUSIP: / Symbol:							
2 transactions for 11/17/20. Total proceeds and cost reported to the IRS.							
	1.000	69.99	11/13/20	85.00	...	-15.01	1 of 2 - Option sale to close-call ²⁵
	1.000	69.99	11/13/20	80.00	...	-10.01	2 of 2 - Option sale to close-call ²⁵
11/17/20	2.000	139.98	Various	165.00	...	-25.02	Total of 2 transactions
DKNG 12/18/2020 CALL \$60.00 / CUSIP: / Symbol:							
12/14/20	1.000	8.98	12/09/20	88.02	...	-79.04	Option sale to close-call ²⁵
12/14/20	1.000	8.98	11/25/20	72.00	63.02 W	0.00	Option sale to close-call ²⁵
	Security total:	17.96		160.02	63.02 W	-79.04	
ETSY 07/17/2020 CALL \$95.00 / CUSIP: / Symbol:							
06/22/20	1.000	789.97	06/19/20	320.00	...	469.97	Option sale to close-call ²⁵
EXPI 12/18/2020 CALL \$60.00 / CUSIP: / Symbol:							
11/27/20	1.000	184.98	11/23/20	170.00	...	14.98	Option sale to close-call ²⁵
FB 07/02/2020 CALL \$245.00 / CUSIP: / Symbol:							
3 transactions for 06/30/20. Total proceeds and cost reported to the IRS.							
	1.000	2.99	06/24/20	246.00	...	-243.01	1 of 3 - Option sale to close-call ²⁵
	1.000	3.00	06/24/20	178.00	...	-175.00	2 of 3 - Option sale to close-call ²⁵
	1.000	2.99	06/26/20	36.00	...	-33.01	3 of 3 - Option sale to close-call ²⁵
06/30/20	3.000	8.98	Various	460.00	...	-451.02	Total of 3 transactions
FB 07/02/2020 CALL \$260.00 / CUSIP: / Symbol:							
06/23/20	2.000	191.98	06/19/20	144.00	...	47.98	Option sale to close-call ²⁵

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FB 07/02/2020 PUT \$205.00 / CUSIP: / Symbol:							
2 transactions for 06/30/20. Total proceeds and cost reported to the IRS.							
	1.000	25.99	06/29/20	114.00	...	-88.01	1 of 2 - Option sale to close-put ²⁵
	1.000	25.99	06/29/20	102.00	...	-76.01	2 of 2 - Option sale to close-put ²⁵
06/30/20	2.000	51.98	Various	216.00	...	-164.02	Total of 2 transactions
FB 07/17/2020 CALL \$260.00 / CUSIP: / Symbol:							
07/13/20	1.000	154.98	07/09/20	105.00	...	49.98	Option sale to close-call ²⁵
FB 07/24/2020 CALL \$255.00 / CUSIP: / Symbol:							
07/17/20	1.000	168.98	07/16/20	167.00	...	1.98	Option sale to close-call ²⁵
FB 08/28/2020 CALL \$280.00 / CUSIP: / Symbol:							
08/26/20	1.000	899.97	08/25/20	210.00	...	689.97	Option sale to close-call ²⁵
FB 09/04/2020 CALL \$320.00 / CUSIP: / Symbol:							
08/27/20	1.000	394.98	08/26/20	310.00	...	84.98	Option sale to close-call ²⁵
2 transactions for 09/02/20. Total proceeds and cost reported to the IRS.							
	1.000	53.99	08/28/20	189.00	...	-135.01	1 of 2 - Option sale to close-call ²⁵
	1.000	53.99	08/28/20	129.00	...	-75.01	2 of 2 - Option sale to close-call ²⁵
09/02/20	2.000	107.98	Various	318.00	...	-210.02	Total of 2 transactions
	Security total:	502.96		628.00	...	-125.04	
FB 09/18/2020 PUT \$265.00 / CUSIP: / Symbol:							
09/16/20	1.000	198.98	09/16/20	176.00	...	22.98	Option sale to close-put ²⁵
FB 09/18/2020 PUT \$270.00 / CUSIP: / Symbol:							
09/16/20	1.000	434.98	09/15/20	310.00	...	124.98	Option sale to close-put ²⁵
FB 09/25/2020 CALL \$265.00 / CUSIP: / Symbol:							
09/23/20	1.000	140.98	09/22/20	79.00	...	61.98	Option sale to close-call ²⁵
FB 10/02/2020 PUT \$230.00 / CUSIP: / Symbol:							
09/24/20	1.000	131.98	09/23/20	158.00	...	-26.02	Option sale to close-put ²⁵

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FB 10/16/2020 CALL \$300.00 / CUSIP: / Symbol:							
09/10/20	1.000	654.97	09/10/20	640.00	...	14.97	Option sale to close-call ²⁵
09/15/20	1.000	309.98	09/10/20	575.00	265.02 W	0.00	Option sale to close-call ²⁵
	2 transactions for 09/17/20. Total proceeds and cost reported to the IRS.						
	1.000	152.99	09/10/20	640.02	487.03 W	0.00	1 of 2 - Option sale to close-call ²⁵
	1.000	152.99	09/16/20	241.00	88.01 W	0.00	2 of 2 - Option sale to close-call ²⁵
09/17/20	2.000	305.98	Various	881.02	575.04 W	0.00	Total of 2 transactions
	2 transactions for 09/21/20. Total proceeds and cost reported to the IRS.						
	1.000	71.00	09/18/20	110.00	...	-39.00	1 of 2 - Option sale to close-call ²⁵
	1.000	70.99	09/18/20	106.00	...	-35.01	2 of 2 - Option sale to close-call ²⁵
09/21/20	2.000	141.99	Various	216.00	...	-74.01	Total of 2 transactions
	2 transactions for 09/21/20. Total proceeds and cost reported to the IRS.						
	1.000	71.00	09/16/20	680.03	609.03 W	0.00	1 of 2 - Option sale to close-call ²⁵
	1.000	70.99	09/18/20	214.01	143.02 W	0.00	2 of 2 - Option sale to close-call ²⁵
09/21/20	2.000	141.99	Various	894.04	752.05 W	0.00	Total of 2 transactions
	2 transactions for 09/25/20. Total proceeds and cost reported to the IRS.						
	1.000	37.99	09/18/20	715.03	...	-677.04	1 of 2 - Option sale to close-call ²⁵
	1.000	37.99	09/23/20	207.02	...	-169.03	2 of 2 - Option sale to close-call ²⁵
09/25/20	2.000	75.98	Various	922.05	...	-846.07	Total of 2 transactions
	Security total:	1,630.89		4,128.11	1,592.11 W	-905.11	
FB 10/23/2020 CALL \$280.00 / CUSIP: / Symbol:							
	2 transactions for 10/20/20. Total proceeds and cost reported to the IRS.						
	1.000	77.98	10/19/20	190.01	...	-112.03	1 of 2 - Option sale to close-call ²⁵
	1.000	51.98	10/19/20	102.01	...	-50.03	2 of 2 - Option sale to close-call ²⁵
10/20/20	2.000	129.96	Various	292.02	...	-162.06	Total of 2 transactions
	2 transactions for 10/20/20. Total proceeds and cost reported to the IRS.						
	1.000	78.99	10/16/20	223.00	144.01 W	0.00	1 of 2 - Option sale to close-call ²⁵
	1.000	78.99	10/16/20	135.00	56.01 W	0.00	2 of 2 - Option sale to close-call ²⁵
10/20/20	2.000	157.98	Various	358.00	200.02 W	0.00	Total of 2 transactions
	Security total:	287.94		650.02	200.02 W	-162.06	
FDX 07/17/2020 CALL \$185.00 / CUSIP: / Symbol:							
07/02/20	1.000	22.98	07/01/20	59.00	...	-36.02	Option sale to close-call ²⁵

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FEYE 08/21/2020 CALL \$16.00 / CUSIP: / Symbol:							
08/21/20	1.000	0.00	07/29/20	75.00	...	-75.00	Option expiration- long call
FPRX 01/15/2021 CALL \$20.00 / CUSIP: / Symbol:							
12/15/20	1.000	184.98	12/14/20	155.00	...	29.98	Option sale to close-call ²⁵
FSLR 01/15/2021 CALL \$110.00 / CUSIP: / Symbol:							
2 transactions for 12/10/20. Total proceeds and cost reported to the IRS.							
	1.000	70.99	12/01/20	201.00	...	-130.01	1 of 2 - Option sale to close-call ²⁵
	1.000	70.99	12/09/20	79.00	...	-8.01	2 of 2 - Option sale to close-call ²⁵
12/10/20	2.000	141.98	Various	280.00	...	-138.02	Total of 2 transactions
FSLR 10/09/2020 CALL \$81.00 / CUSIP: / Symbol:							
4 transactions for 10/08/20. Total proceeds and cost reported to the IRS.							
	2.000	129.99	10/08/20	90.00	...	39.99	1 of 4 - Option sale to close-call ²⁵
	3.000	194.99	10/08/20	141.00	...	53.99	2 of 4 - Option sale to close-call ²⁵
	5.000	324.99	10/08/20	190.00	...	134.99	3 of 4 - Option sale to close-call ²⁵
	10.000	649.96	10/08/20	500.00	...	149.96	4 of 4 - Option sale to close-call ²⁵
10/08/20	20.000	1,299.93	Various	921.00	...	378.93	Total of 4 transactions
FSLR 10/16/2020 CALL \$90.00 / CUSIP: / Symbol:							
4 transactions for 10/12/20. Total proceeds and cost reported to the IRS.							
	2.000	49.99	10/09/20	100.00	...	-50.01	1 of 4 - Option sale to close-call ²⁵
	1.000	15.98	10/09/20	55.01	...	-39.03	2 of 4 - Option sale to close-call ²⁵
	1.000	25.00	10/09/20	50.00	...	-25.00	3 of 4 - Option sale to close-call ²⁵
	1.000	25.00	10/09/20	30.00	...	-5.00	4 of 4 - Option sale to close-call ²⁵
10/12/20	5.000	115.97	Various	235.01	...	-119.04	Total of 4 transactions
10/12/20	2.000	49.99	10/09/20	100.00	25.01 W	-25.00	Option sale to close-call ²⁵
	Security total:	165.96		335.01	25.01 W	-144.04	
FSLR 12/18/2020 CALL \$92.50 / CUSIP: / Symbol:							
11/05/20	1.000	469.97	11/04/20	237.00	...	232.97	Option sale to close-call ²⁵
FSLY 10/02/2020 CALL \$100.00 / CUSIP: / Symbol:							
09/22/20	1.000	389.98	09/21/20	295.00	...	94.98	Option sale to close-call ²⁵

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Robinhood Securities LLC

Account 119938009

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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FSR 11/20/2020 CALL \$17.50 / CUSIP: / Symbol:							
<i>4 transactions for 11/13/20. Total proceeds and cost reported to the IRS.</i>							
	1.000	83.98	11/10/20	55.00	...	28.98	1 of 4 - Option sale to close-call ²⁵
	1.000	83.99	11/10/20	38.00	...	45.99	2 of 4 - Option sale to close-call ²⁵
	1.000	104.98	11/12/20	61.00	...	43.98	3 of 4 - Option sale to close-call ²⁵
	2.000	167.99	11/12/20	122.00	...	45.99	4 of 4 - Option sale to close-call ²⁵
11/13/20	5.000	440.94	Various	276.00	...	164.94	Total of 4 transactions
FSR 12/18/2020 CALL \$17.50 / CUSIP: / Symbol:							
11/25/20	1.000	324.98	11/16/20	242.00	...	82.98	Option sale to close-call ²⁵
FUTU 01/15/2021 CALL \$55.00 / CUSIP: / Symbol:							
12/08/20	1.000	240.98	12/07/20	230.00	...	10.98	Option sale to close-call ²⁵
FVRR 11/20/2020 PUT \$140.00 / CUSIP: / Symbol:							
11/16/20	1.000	29.98	11/13/20	48.00	...	-18.02	Option sale to close-put ²⁵
GE 10/16/2020 CALL \$7.00 / CUSIP: / Symbol:							
09/17/20	4.000	115.98	09/16/20	112.00	...	3.98	Option sale to close-call ²⁵
GE 12/04/2020 CALL \$8.50 / CUSIP: / Symbol:							
11/06/20	2.000	39.98	11/04/20	52.00	...	-12.02	Option sale to close-call ²⁵
GIS 08/21/2020 CALL \$70.00 / CUSIP: / Symbol:							
07/20/20	10.000	89.97	07/17/20	250.00	...	-160.03	Option sale to close-call ²⁵
GME 10/23/2020 CALL \$15.00 / CUSIP: / Symbol:							
10/20/20	1.000	36.98	10/19/20	67.00	...	-30.02	Option sale to close-call ²⁵
GME 10/30/2020 CALL \$15.00 / CUSIP: / Symbol:							
<i>2 transactions for 10/12/20. Total proceeds and cost reported to the IRS.</i>							
	1.000	58.99	10/09/20	272.02	...	-213.03	1 of 2 - Option sale to close-call ²⁵
	1.000	58.99	10/09/20	177.00	...	-118.01	2 of 2 - Option sale to close-call ²⁵
10/12/20	2.000	117.98	Various	449.02	...	-331.04	Total of 2 transactions
10/12/20	1.000	58.98	10/09/20	177.00	118.02 W	0.00	Option sale to close-call ²⁵
Security total:		176.96		626.02	118.02 W	-331.04	

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Account 119938009

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

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02/14/2021

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GNUS 07/16/2021 CALL \$1.50 / CUSIP: / Symbol:							
12/08/20	1.000	50.98	11/30/20	49.00	...	1.98	Option sale to close-call ²⁵
GNUS 07/17/2020 CALL \$2.50 / CUSIP: / Symbol:							
3 transactions for 07/13/20. Total proceeds and cost reported to the IRS.							
	2.000	41.99	07/07/20	70.00	...	-28.01	1 of 3 - Option sale to close-call ²⁵
	1.000	20.99	07/10/20	44.01	...	-23.02	2 of 3 - Option sale to close-call ²⁵
	1.000	20.98	07/10/20	44.00	...	-23.02	3 of 3 - Option sale to close-call ²⁵
07/13/20	4.000	83.96	Various	158.01	...	-74.05	Total of 3 transactions
07/13/20	3.000	62.98	07/07/20	105.00	28.01 W	-14.01	Option sale to close-call ²⁵
	Security total:	146.94		263.01	28.01 W	-88.06	
GOGO 11/20/2020 CALL \$12.00 / CUSIP: / Symbol:							
10/26/20	1.000	44.98	10/16/20	140.00	...	-95.02	Option sale to close-call ²⁵
GRPN 08/21/2020 CALL \$30.00 / CUSIP: / Symbol:							
2 transactions for 08/18/20. Total proceeds and cost reported to the IRS.							
	1.000	93.99	08/10/20	103.00	...	-9.01	1 of 2 - Option sale to close-call ²⁵
	1.000	93.99	08/11/20	67.00	...	26.99	2 of 2 - Option sale to close-call ²⁵
08/18/20	2.000	187.98	Various	170.00	...	17.98	Total of 2 transactions
GRUB 10/16/2020 CALL \$75.00 / CUSIP: / Symbol:							
2 transactions for 09/24/20. Total proceeds and cost reported to the IRS.							
	1.000	142.98	09/22/20	198.00	...	-55.02	1 of 2 - Option sale to close-call ²⁵
	1.000	157.98	09/22/20	198.00	...	-40.02	2 of 2 - Option sale to close-call ²⁵
09/24/20	2.000	300.96	Various	396.00	...	-95.04	Total of 2 transactions
GUSH 11/20/2020 CALL \$30.00 / CUSIP: / Symbol:							
10/06/20	1.000	174.98	10/05/20	130.00	...	44.98	Option sale to close-call ²⁵
HD 08/28/2020 CALL \$300.00 / CUSIP: / Symbol:							
07/22/20	2.000	125.98	07/17/20	128.00	...	-2.02	Option sale to close-call ²⁵

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HD 10/23/2020 CALL \$300.00 / CUSIP: / Symbol:							
5 transactions for 10/22/20. Total proceeds and cost reported to the IRS.							
	1.000	2.98	10/16/20	61.00	...	-58.02	1 of 5 - Option sale to close-call ²⁵
	1.000	2.98	10/16/20	61.00	...	-58.02	2 of 5 - Option sale to close-call ²⁵
	1.000	2.98	10/16/20	61.00	...	-58.02	3 of 5 - Option sale to close-call ²⁵
	1.000	2.98	10/16/20	61.00	...	-58.02	4 of 5 - Option sale to close-call ²⁵
	1.000	2.98	10/16/20	61.00	...	-58.02	5 of 5 - Option sale to close-call ²⁵
10/22/20	5.000	14.90	Various	305.00	...	-290.10	Total of 5 transactions
HOG 11/06/2020 CALL \$35.00 / CUSIP: / Symbol:							
10/27/20	1.000	159.98	10/27/20	95.00	...	64.98	Option sale to close-call ²⁵
HOME 08/21/2020 CALL \$11.00 / CUSIP: / Symbol:							
07/29/20	1.000	40.98	07/24/20	39.00	...	1.98	Option sale to close-call ²⁵
HOME 12/18/2020 CALL \$20.00 / CUSIP: / Symbol:							
12/04/20	1.000	27.98	12/02/20	92.00	...	-64.02	Option sale to close-call ²⁵
HYG 06/26/2020 CALL \$85.00 / CUSIP: / Symbol:							
06/16/20	1.000	49.98	06/15/20	31.00	...	18.98	Option sale to close-call ²⁵
IBM 12/11/2020 CALL \$129.00 / CUSIP: / Symbol:							
2 transactions for 12/08/20. Total proceeds and cost reported to the IRS.							
	1.000	24.99	12/07/20	24.00	...	0.99	1 of 2 - Option sale to close-call ²⁵
	2.000	49.99	12/07/20	48.00	...	1.99	2 of 2 - Option sale to close-call ²⁵
12/08/20	3.000	74.98	Various	72.00	...	2.98	Total of 2 transactions
ICPT 09/18/2020 CALL \$65.00 / CUSIP: / Symbol:							
08/11/20	1.000	194.98	08/10/20	190.00	...	4.98	Option sale to close-call ²⁵
IMMU 08/21/2020 CALL \$40.00 / CUSIP: / Symbol:							
06/24/20	1.000	169.98	06/19/20	195.00	...	-25.02	Option sale to close-call ²⁵
INFY 10/16/2020 CALL \$14.00 / CUSIP: / Symbol:							
07/22/20	1.000	29.98	07/20/20	43.00	...	-13.02	Option sale to close-call ²⁵

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Proceeds from Broker and Barter Exchange Transactions

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INO 08/21/2020 CALL \$20.00 / CUSIP: / Symbol:							
4 transactions for 08/21/20. Total proceeds and cost reported to the IRS.							
	1.000	0.00	08/06/20	320.00	...	-320.00	1 of 4 - Option expiration- long call
	1.000	0.00	08/10/20	200.00	...	-200.00	2 of 4 - Option expiration- long call
	1.000	0.00	08/11/20	67.00	...	-67.00	3 of 4 - Option expiration- long call
	1.000	0.00	08/11/20	67.00	...	-67.00	4 of 4 - Option expiration- long call
08/21/20	4.000	0.00	Various	654.00	...	-654.00	Total of 4 transactions
INO 10/02/2020 CALL \$20.00 / CUSIP: / Symbol:							
09/22/20	1.000	201.98	09/21/20	248.00	...	-46.02	Option sale to close-call ²⁵
INTC 08/21/2020 CALL \$50.00 / CUSIP: / Symbol:							
08/05/20	1.000	76.98	08/04/20	72.00	...	4.98	Option sale to close-call ²⁵
INTC 10/23/2020 CALL \$60.00 / CUSIP: / Symbol:							
10/23/20	2.000	0.00	10/22/20	34.00	...	-34.00	Option expiration- long call
INTC 11/20/2020 CALL \$51.00 / CUSIP: / Symbol:							
2 transactions for 10/26/20. Total proceeds and cost reported to the IRS.							
	1.000	33.99	10/23/20	54.00	...	-20.01	1 of 2 - Option sale to close-call ²⁵
	1.000	33.99	10/23/20	54.00	...	-20.01	2 of 2 - Option sale to close-call ²⁵
10/26/20	2.000	67.98	Various	108.00	...	-40.02	Total of 2 transactions
JD 11/20/2020 CALL \$90.00 / CUSIP: / Symbol:							
10/26/20	1.000	171.98	10/16/20	201.00	...	-29.02	Option sale to close-call ²⁵
JD 11/20/2020 PUT \$80.00 / CUSIP: / Symbol:							
11/16/20	1.000	49.98	11/16/20	76.00	...	-26.02	Option sale to close-put ²⁵
JKS 12/18/2020 CALL \$100.00 / CUSIP: / Symbol:							
12/07/20	1.000	4.98	11/27/20	145.00	...	-140.02	Option sale to close-call ²⁵
JNJ 07/17/2020 CALL \$155.00 / CUSIP: / Symbol:							
07/16/20	1.000	8.98	07/15/20	46.00	...	-37.02	Option sale to close-call ²⁵

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JPM 10/23/2020 CALL \$103.00 / CUSIP: / Symbol:							
2 transactions for 10/14/20. Total proceeds and cost reported to the IRS.							
	1.000	83.98	10/13/20	117.00	...	-33.02	1 of 2 - Option sale to close-call ²⁵
	1.000	83.98	10/13/20	117.00	...	-33.02	2 of 2 - Option sale to close-call ²⁵
10/14/20	2.000	167.96	Various	234.00	...	-66.04	Total of 2 transactions
JPM 12/11/2020 CALL \$124.00 / CUSIP: / Symbol:							
12/09/20	1.000	47.98	12/07/20	68.00	...	-20.02	Option sale to close-call ²⁵
KHC 07/31/2020 CALL \$35.00 / CUSIP: / Symbol:							
07/16/20	1.000	98.98	07/15/20	71.00	...	27.98	Option sale to close-call ²⁵
KNDI 12/18/2020 CALL \$20.00 / CUSIP: / Symbol:							
12/08/20	2.000	9.98	11/30/20	30.00	...	-20.02	Option sale to close-call ²⁵
KPTI 08/21/2020 CALL \$25.00 / CUSIP: / Symbol:							
3 transactions for 08/21/20. Total proceeds and cost reported to the IRS.							
	1.000	0.00	06/22/20	150.00	...	-150.00	1 of 3 - Option expiration- long call
	1.000	0.00	06/24/20	85.00	...	-85.00	2 of 3 - Option expiration- long call
	2.000	0.00	07/27/20	50.00	...	-50.00	3 of 3 - Option expiration- long call
08/21/20	4.000	0.00	Various	285.00	...	-285.00	Total of 3 transactions
LAZR 01/15/2021 PUT \$20.00 / CUSIP: / Symbol:							
2 transactions for 12/28/20. Total proceeds and cost reported to the IRS.							
	1.000	24.99	12/23/20	25.00	...	-0.01	1 of 2 - Option sale to close-put ²⁵
	1.000	24.99	12/23/20	25.00	...	-0.01	2 of 2 - Option sale to close-put ²⁵
12/28/20	2.000	49.98	Various	50.00	...	-0.02	Total of 2 transactions
LAZR 12/18/2020 PUT \$30.00 / CUSIP: / Symbol:							
12/09/20	1.000	171.98	12/08/20	265.00	...	-93.02	Option sale to close-put ²⁵
LB 01/15/2021 CALL \$45.00 / CUSIP: / Symbol:							
12/09/20	1.000	183.98	12/08/20	165.00	...	18.98	Option sale to close-call ²⁵
LB 12/18/2020 CALL \$45.00 / CUSIP: / Symbol:							
11/20/20	1.000	81.98	11/19/20	75.00	...	6.98	Option sale to close-call ²⁵

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LCA 10/16/2020 CALL \$20.00 / CUSIP: / Symbol:							
09/22/20	1.000	147.98	09/18/20	205.00	...	-57.02	Option sale to close-call ²⁵
LCA 11/20/2020 CALL \$15.00 / CUSIP: / Symbol:							
09/30/20	1.000	294.98	09/24/20	280.00	...	14.98	Option sale to close-call ²⁵
LCA 12/18/2020 CALL \$20.00 / CUSIP: / Symbol:							
11/24/20	2.000	199.98	11/24/20	158.00	...	41.98	Option sale to close-call ²⁵
LMND 12/11/2020 CALL \$95.00 / CUSIP: / Symbol:							
12/09/20	1.000	61.98	12/09/20	126.00	...	-64.02	Option sale to close-call ²⁵
LULU 06/26/2020 CALL \$310.00 / CUSIP: / Symbol:							
06/19/20	1.000	509.97	06/18/20	365.00	...	144.97	Option sale to close-call ²⁵
06/22/20	1.000	309.98	06/19/20	250.00	...	59.98	Option sale to close-call ²⁵
Security total:		819.95		615.00	...	204.95	
LULU 07/02/2020 CALL \$312.50 / CUSIP: / Symbol:							
		<i>2 transactions for 06/30/20. Total proceeds and cost reported to the IRS.</i>					
	1.000	499.97	06/24/20	223.00	...	276.97	1 of 2 - Option sale to close-call ²⁵
	1.000	444.98	06/24/20	134.00	...	310.98	2 of 2 - Option sale to close-call ²⁵
06/30/20	2.000	944.95	Various	357.00	...	587.95	Total of 2 transactions
LULU 07/17/2020 CALL \$345.00 / CUSIP: / Symbol:							
07/13/20	1.000	97.98	07/10/20	78.00	...	19.98	Option sale to close-call ²⁵
MRNA 07/10/2020 PUT \$50.00 / CUSIP: / Symbol:							
07/06/20	1.000	26.98	07/02/20	87.00	...	-60.02	Option sale to close-put ²⁵
MRVL 06/26/2020 CALL \$35.00 / CUSIP: / Symbol:							
06/17/20	2.000	227.98	06/16/20	190.00	...	37.98	Option sale to close-call ²⁵
MSFT 07/10/2020 CALL \$210.00 / CUSIP: / Symbol:							
07/06/20	1.000	193.98	07/02/20	195.00	...	-1.02	Option sale to close-call ²⁵
MSFT 07/17/2020 CALL \$220.00 / CUSIP: / Symbol:							
06/19/20	1.000	81.98	06/18/20	76.00	...	5.98	Option sale to close-call ²⁵

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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
MSFT 11/27/2020 PUT \$207.50 / CUSIP: / Symbol:							
11/24/20	1.000	98.98	11/23/20	118.00	...	-19.02	Option sale to close-put ²⁵
MSFT 12/31/2020 PUT \$220.00 / CUSIP: / Symbol:							
12/28/20	1.000	29.98	12/28/20	30.00	...	-0.02	Option sale to close-put ²⁵
NFLX 07/02/2020 CALL \$500.00 / CUSIP: / Symbol:							
07/02/20	1.000	53.98	07/01/20	135.00	...	-81.02	Option sale to close-call ²⁵
NFLX 07/02/2020 CALL \$520.00 / CUSIP: / Symbol:							
06/23/20	2.000	267.98	06/22/20	220.00	...	47.98	Option sale to close-call ²⁵
NFLX 07/10/2020 CALL \$500.00 / CUSIP: / Symbol:							
07/01/20	2.000	249.98	06/30/20	128.00	...	121.98	Option sale to close-call ²⁵
NFLX 10/02/2020 CALL \$690.00 / CUSIP: / Symbol:							
09/01/20	1.000	419.98	08/31/20	300.00	...	119.98	Option sale to close-call ²⁵
NFLX 11/27/2020 CALL \$500.00 / CUSIP: / Symbol:							
11/24/20	1.000	68.98	11/23/20	174.00	...	-105.02	Option sale to close-call ²⁵
NIO 06/26/2020 CALL \$7.00 / CUSIP: / Symbol:							
06/16/20	1.000	89.98	06/15/20	60.00	...	29.98	Option sale to close-call ²⁵
NIO 07/24/2020 PUT \$14.00 / CUSIP: / Symbol:							
07/14/20	1.000	217.98	07/10/20	192.00	...	25.98	Option sale to close-put ²⁵
NIO 09/11/2020 CALL \$20.00 / CUSIP: / Symbol:							
08/26/20	2.000	459.97	08/25/20	124.00	...	335.97	Option sale to close-call ²⁵
NIO 09/18/2020 CALL \$16.00 / CUSIP: / Symbol:							
	<i>2 transactions for 08/24/20. Total proceeds and cost reported to the IRS.</i>						
	1.000	85.99	08/21/20	78.00	...	7.99	1 of 2 - Option sale to close-call ²⁵
	1.000	85.99	08/21/20	78.00	...	7.99	2 of 2 - Option sale to close-call ²⁵
08/24/20	2.000	171.98	Various	156.00	...	15.98	Total of 2 transactions
NIO 09/18/2020 CALL \$18.00 / CUSIP: / Symbol:							
08/25/20	1.000	73.98	08/24/20	45.00	...	28.98	Option sale to close-call ²⁵

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Robinhood Securities LLC

Account 119938009

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
NIO 09/25/2020 CALL \$21.00 / CUSIP: / Symbol:							
2 transactions for 09/22/20. Total proceeds and cost reported to the IRS.							
	1.000	21.99	09/15/20	74.00	...	-52.01	1 of 2 - Option sale to close-call ²⁵
	1.000	21.99	09/21/20	26.00	...	-4.01	2 of 2 - Option sale to close-call ²⁵
09/22/20	2.000	43.98	Various	100.00	...	-56.02	Total of 2 transactions
NIO 10/02/2020 CALL \$20.00 / CUSIP: / Symbol:							
09/24/20	2.000	51.98	09/23/20	90.00	...	-38.02	Option sale to close-call ²⁵
NIO 10/16/2020 PUT \$25.00 / CUSIP: / Symbol:							
2 transactions for 10/15/20. Total proceeds and cost reported to the IRS.							
	1.000	26.99	10/14/20	39.00	...	-12.01	1 of 2 - Option sale to close-put ²⁵
	1.000	26.99	10/14/20	39.00	...	-12.01	2 of 2 - Option sale to close-put ²⁵
10/15/20	2.000	53.98	Various	78.00	...	-24.02	Total of 2 transactions
NIO 10/23/2020 CALL \$30.00 / CUSIP: / Symbol:							
8 transactions for 10/14/20. Total proceeds and cost reported to the IRS.							
	1.000	72.99	10/14/20	69.00	...	3.99	1 of 8 - Option sale to close-call ²⁵
	1.000	73.00	10/14/20	69.00	...	4.00	2 of 8 - Option sale to close-call ²⁵
	1.000	72.99	10/14/20	68.00	...	4.99	3 of 8 - Option sale to close-call ²⁵
	1.000	80.99	10/14/20	69.00	...	11.99	4 of 8 - Option sale to close-call ²⁵
	1.000	81.00	10/14/20	69.00	...	12.00	5 of 8 - Option sale to close-call ²⁵
	1.000	81.00	10/14/20	69.00	...	12.00	6 of 8 - Option sale to close-call ²⁵
	4.000	291.98	10/14/20	276.00	...	15.98	7 of 8 - Option sale to close-call ²⁵
	2.000	161.99	10/14/20	88.00	...	73.99	8 of 8 - Option sale to close-call ²⁵
10/14/20	12.000	915.94	Various	777.00	...	138.94	Total of 8 transactions
10/15/20	1.000	144.98	10/15/20	130.00	...	14.98	Option sale to close-call ²⁵
	Security total:	1,060.92		907.00	...	153.92	
NIO 10/23/2020 PUT \$26.00 / CUSIP: / Symbol:							
10/16/20	1.000	72.98	10/15/20	81.00	...	-8.02	Option sale to close-put ²⁵
NIO 10/30/2020 CALL \$30.00 / CUSIP: / Symbol:							
10/15/20	2.000	245.98	10/14/20	152.00	...	93.98	Option sale to close-call ²⁵

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Robinhood Securities LLC

Account 119938009

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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NIO 11/20/2020 CALL \$45.00 / CUSIP: / Symbol:							
11/09/20	1.000	369.98	11/09/20	296.00	...	73.98	Option sale to close-call ²⁵
11/11/20	1.000	276.98	11/10/20	260.00	...	16.98	Option sale to close-call ²⁵
11/16/20	1.000	434.98	11/13/20	350.00	...	84.98	Option sale to close-call ²⁵
	Security total:	1,081.94		906.00	...	175.94	
NIO 11/20/2020 CALL \$46.00 / CUSIP: / Symbol:							
11/17/20	1.000	431.98	11/16/20	450.00	...	-18.02	Option sale to close-call ²⁵
NIO 11/20/2020 CALL \$50.00 / CUSIP: / Symbol:							
11/13/20	1.000	524.97	11/13/20	330.00	...	194.97	Option sale to close-call ²⁵
11/17/20	1.000	281.98	11/13/20	262.00	...	19.98	Option sale to close-call ²⁵
	Security total:	806.95		592.00	...	214.95	
NIO 11/20/2020 PUT \$35.00 / CUSIP: / Symbol:							
11/18/20	1.000	10.98	11/17/20	55.00	...	-44.02	Option sale to close-put ²⁵
NIO 11/20/2020 PUT \$40.00 / CUSIP: / Symbol:							
11/13/20	1.000	91.98	11/12/20	131.00	...	-39.02	Option sale to close-put ²⁵
NKE 12/24/2020 CALL \$150.00 / CUSIP: / Symbol:							
	5 transactions for 12/21/20. Total proceeds and cost reported to the IRS.						
	2.000	55.99	12/21/20	388.01	...	-332.02	1 of 5 - Option sale to close-call ²⁵
	1.000	27.98	12/21/20	194.01	...	-166.03	2 of 5 - Option sale to close-call ²⁵
	1.000	28.00	12/21/20	129.01	...	-101.01	3 of 5 - Option sale to close-call ²⁵
	1.000	27.99	12/21/20	73.00	...	-45.01	4 of 5 - Option sale to close-call ²⁵
	5.000	139.98	12/21/20	175.00	...	-35.02	5 of 5 - Option sale to close-call ²⁵
12/21/20	10.000	279.94	Various	959.03	...	-679.09	Total of 5 transactions
	5 transactions for 12/21/20. Total proceeds and cost reported to the IRS.						
	3.000	83.99	12/21/20	477.00	393.01 W	0.00	1 of 5 - Option sale to close-call ²⁵
	1.000	27.99	12/21/20	84.00	56.01 W	0.00	2 of 5 - Option sale to close-call ²⁵
	3.000	83.99	12/21/20	561.01	477.02 W	0.00	3 of 5 - Option sale to close-call ²⁵
	1.000	28.00	12/21/20	122.01	94.01 W	0.00	4 of 5 - Option sale to close-call ²⁵
	1.000	28.00	12/21/20	66.00	38.00 W	0.00	5 of 5 - Option sale to close-call ²⁵
12/21/20	9.000	251.97	Various	1,310.02	1,058.05 W	0.00	Total of 5 transactions
	Security total:	531.91		2,269.05	1,058.05 W	-679.09	

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Robinhood Securities LLC

Account 119938009

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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NKLA 08/14/2020 CALL \$44.00 / CUSIP: / Symbol:							
08/11/20	1.000	174.98	08/10/20	155.00	...	19.98	Option sale to close-call ²⁵
NLS 01/15/2021 CALL \$30.00 / CUSIP: / Symbol:							
12/04/20	1.000	49.98	11/30/20	110.00	...	-60.02	Option sale to close-call ²⁵
NTNX 10/16/2020 CALL \$25.00 / CUSIP: / Symbol:							
07/21/20	1.000	237.98	07/17/20	220.00	...	17.98	Option sale to close-call ²⁵
NVAX 07/17/2020 CALL \$80.00 / CUSIP: / Symbol:							
06/19/20	1.000	320.98	06/18/20	295.00	...	25.98	Option sale to close-call ²⁵
NVAX 10/16/2020 CALL \$150.00 / CUSIP: / Symbol:							
09/29/20	1.000	111.98	09/25/20	330.00	...	-218.02	Option sale to close-call ²⁵
OMI 10/16/2020 CALL \$25.00 / CUSIP: / Symbol:							
09/25/20	1.000	44.98	09/24/20	95.00	...	-50.02	Option sale to close-call ²⁵
ORCL 09/18/2020 CALL \$60.00 / CUSIP: / Symbol:							
	2 transactions for 08/28/20. Total proceeds and cost reported to the IRS.						
	1.000	126.99	08/27/20	185.00	...	-58.01	1 of 2 - Option sale to close-call ²⁵
	1.000	126.99	08/27/20	140.00	...	-13.01	2 of 2 - Option sale to close-call ²⁵
08/28/20	2.000	253.98	Various	325.00	...	-71.02	Total of 2 transactions
ORCL 10/16/2020 CALL \$70.00 / CUSIP: / Symbol:							
09/15/20	1.000	46.98	09/14/20	67.00	...	-20.02	Option sale to close-call ²⁵
OTIS 08/21/2020 CALL \$65.00 / CUSIP: / Symbol:							
07/29/20	1.000	79.98	07/28/20	50.00	...	29.98	Option sale to close-call ²⁵
PEIX 01/15/2021 CALL \$6.00 / CUSIP: / Symbol:							
11/24/20	1.000	164.98	11/20/20	136.00	...	28.98	Option sale to close-call ²⁵
11/27/20	1.000	183.98	11/23/20	130.00	...	53.98	Option sale to close-call ²⁵
Security total:		348.96		266.00	...	82.96	

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Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

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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
PENN 07/10/2020 CALL \$40.00 / CUSIP: / Symbol:							
8 transactions for 07/10/20. Total proceeds and cost reported to the IRS.							
	3.000	0.00	06/24/20	285.00	...	-285.00	1 of 8 - Option expiration- long call
	2.000	0.00	06/24/20	260.00	...	-260.00	2 of 8 - Option expiration- long call
	2.000	0.00	06/24/20	260.00	...	-260.00	3 of 8 - Option expiration- long call
	1.000	0.00	06/24/20	130.00	...	-130.00	4 of 8 - Option expiration- long call
	1.000	0.00	06/24/20	110.00	...	-110.00	5 of 8 - Option expiration- long call
	1.000	0.00	06/24/20	105.00	...	-105.00	6 of 8 - Option expiration- long call
	4.000	0.00	06/25/20	220.00	...	-220.00	7 of 8 - Option expiration- long call
	1.000	0.00	06/26/20	40.00	...	-40.00	8 of 8 - Option expiration- long call
07/10/20	15.000	0.00	Various	1,410.00	...	-1,410.00	Total of 8 transactions
PENN 07/17/2020 CALL \$40.00 / CUSIP: / Symbol:							
2 transactions for 06/23/20. Total proceeds and cost reported to the IRS.							
	2.000	419.99	06/19/20	190.00	...	229.99	1 of 2 - Option sale to close-call ²⁵
	4.000	839.97	06/19/20	500.00	...	339.97	2 of 2 - Option sale to close-call ²⁵
06/23/20	6.000	1,259.96	Various	690.00	...	569.96	Total of 2 transactions
PENN 07/31/2020 CALL \$35.00 / CUSIP: / Symbol:							
07/15/20	1.000	195.98	07/13/20	167.00	...	28.98	Option sale to close-call ²⁵
07/16/20	1.000	257.98	07/14/20	78.00	...	179.98	Option sale to close-call ²⁵
	Security total:	453.96		245.00	...	208.96	
PENN 08/21/2020 CALL \$40.00 / CUSIP: / Symbol:							
07/22/20	1.000	207.98	07/20/20	141.00	...	66.98	Option sale to close-call ²⁵
PENN 12/18/2020 CALL \$100.00 / CUSIP: / Symbol:							
2 transactions for 11/09/20. Total proceeds and cost reported to the IRS.							
	1.000	115.99	10/16/20	281.00	...	-165.01	1 of 2 - Option sale to close-call ²⁵
	1.000	115.99	10/19/20	158.00	...	-42.01	2 of 2 - Option sale to close-call ²⁵
11/09/20	2.000	231.98	Various	439.00	...	-207.02	Total of 2 transactions

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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
PINS 08/28/2020 CALL \$40.00 / CUSIP: / Symbol:							
08/19/20	1.000	65.99	08/18/20	57.02	...	8.97	Option sale to close-call ²⁵
	2 transactions for 08/19/20. Total proceeds and cost reported to the IRS.						
	1.000	65.98	08/07/20	87.00	21.02 W	0.00	1 of 2 - Option sale to close-call ²⁵
	1.000	65.99	08/07/20	87.00	21.01 W	0.00	2 of 2 - Option sale to close-call ²⁵
08/19/20	2.000	131.97	Various	174.00	42.03 W	0.00	Total of 2 transactions
	2 transactions for 08/20/20. Total proceeds and cost reported to the IRS.						
	1.000	17.99	08/18/20	57.01	...	-39.02	1 of 2 - Option sale to close-call ²⁵
	2.000	35.99	08/18/20	72.00	...	-36.01	2 of 2 - Option sale to close-call ²⁵
08/20/20	3.000	53.98	Various	129.01	...	-75.03	Total of 2 transactions
	Security total:	251.94		360.03	42.03 W	-66.06	
PINS 10/30/2020 CALL \$70.00 / CUSIP: / Symbol:							
10/26/20	1.000	67.98	10/23/20	63.00	...	4.98	Option sale to close-call ²⁵
PLAB 12/18/2020 CALL \$12.50 / CUSIP: / Symbol:							
11/24/20	1.000	9.98	11/20/20	20.00	...	-10.02	Option sale to close-call ²⁵
PLAN 09/18/2020 CALL \$70.00 / CUSIP: / Symbol:							
	2 transactions for 09/02/20. Total proceeds and cost reported to the IRS.						
	1.000	60.98	08/26/20	120.01	...	-59.03	1 of 2 - Option sale to close-call ²⁵
	1.000	60.98	08/26/20	115.01	...	-54.03	2 of 2 - Option sale to close-call ²⁵
09/02/20	2.000	121.96	Various	235.02	...	-113.06	Total of 2 transactions
09/02/20	2.000	119.98	08/26/20	240.00	120.02 W	0.00	Option sale to close-call ²⁵
	Security total:	241.94		475.02	120.02 W	-113.06	
PLAY 01/15/2021 CALL \$40.00 / CUSIP: / Symbol:							
09/08/20	2.000	239.98	06/24/20	260.00	20.02 W	0.00	Option sale to close-call ²⁵
	6 transactions for 11/09/20. Total proceeds and cost reported to the IRS.						
	2.000	119.99	06/24/20	260.00	...	-140.01	1 of 6 - Option sale to close-call ²⁵
	1.000	60.00	06/24/20	130.00	...	-70.00	2 of 6 - Option sale to close-call ²⁵
	1.000	59.99	09/09/20	95.01	...	-35.02	3 of 6 - Option sale to close-call ²⁵
	1.000	59.99	09/14/20	50.01	...	9.98	4 of 6 - Option sale to close-call ²⁵
	2.000	103.98	09/17/20	34.00	...	69.98	5 of 6 - Option sale to close-call ²⁵

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PLAY 01/15/2021 CALL \$40.00 / CUSIP: / Symbol: (cont'd)							
	3.000	179.99	09/17/20	51.00	...	128.99	6 of 6 - Option sale to close-call ²⁵
11/09/20	10.000	583.94	Various	620.02	...	-36.08	Total of 6 transactions
	Security total:	823.92		880.02	20.02 W	-36.08	
PLAY 11/20/2020 CALL \$23.50 / CUSIP: / Symbol:							
11/16/20	1.000	74.98	11/13/20	55.00	...	19.98	Option sale to close-call ²⁵
PLTR 12/04/2020 CALL \$40.00 / CUSIP: / Symbol:							
3 transactions for 12/02/20. Total proceeds and cost reported to the IRS.							
	1.000	1.00	11/27/20	111.00	...	-110.00	1 of 3 - Option sale to close-call ²⁵
	1.000	0.99	11/30/20	45.00	...	-44.01	2 of 3 - Option sale to close-call ²⁵
	2.000	1.99	11/30/20	40.00	...	-38.01	3 of 3 - Option sale to close-call ²⁵
12/02/20	4.000	3.98	Various	196.00	...	-192.02	Total of 3 transactions
PLTR 12/18/2020 CALL \$30.00 / CUSIP: / Symbol:							
12/16/20	1.000	7.98	12/15/20	13.00	...	-5.02	Option sale to close-call ²⁵
PTON 10/02/2020 CALL \$100.00 / CUSIP: / Symbol:							
09/23/20	1.000	374.98	09/22/20	256.00	...	118.98	Option sale to close-call ²⁵
PTON 10/23/2020 PUT \$120.00 / CUSIP: / Symbol:							
10/15/20	1.000	192.98	10/14/20	177.00	...	15.98	Option sale to close-put ²⁵
QCOM 01/15/2021 CALL \$180.00 / CUSIP: / Symbol:							
11/19/20	1.000	98.98	11/17/20	93.00	...	5.98	Option sale to close-call ²⁵
12/04/20	1.000	109.98	11/17/20	93.00	...	16.98	Option sale to close-call ²⁵
12/07/20	1.000	146.98	11/18/20	95.00	...	51.98	Option sale to close-call ²⁵
	Security total:	355.94		281.00	...	74.94	
QCOM 08/21/2020 CALL \$120.00 / CUSIP: / Symbol:							
08/05/20	2.000	207.98	08/04/20	156.00	...	51.98	Option sale to close-call ²⁵
QCOM 09/11/2020 CALL \$120.00 / CUSIP: / Symbol:							
08/24/20	1.000	107.98	08/20/20	70.00	...	37.98	Option sale to close-call ²⁵

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Robinhood Securities LLC

Account 119938009

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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QCOM 10/16/2020 CALL \$120.00 / CUSIP: / Symbol:							
10/01/20	2.000	689.97	09/29/20	630.00	...	59.97	Option sale to close-call ²⁵
QCOM 10/16/2020 CALL \$125.00 / CUSIP: / Symbol:							
10/06/20	1.000	138.98	10/05/20	106.00	...	32.98	Option sale to close-call ²⁵
RAD 07/02/2020 CALL \$17.00 / CUSIP: / Symbol:							
06/26/20	1.000	76.98	06/25/20	65.00	...	11.98	Option sale to close-call ²⁵
	2 transactions for 06/29/20. Total proceeds and cost reported to the IRS.						
	1.000	51.98	06/26/20	20.00	...	31.98	1 of 2 - Option sale to close-call ²⁵
	1.000	82.98	06/26/20	20.00	...	62.98	2 of 2 - Option sale to close-call ²⁵
06/29/20	2.000	134.96	Various	40.00	...	94.96	Total of 2 transactions
	Security total:	211.94		105.00	...	106.94	
RIDE 01/15/2021 CALL \$35.00 / CUSIP: / Symbol:							
	2 transactions for 11/23/20. Total proceeds and cost reported to the IRS.						
	1.000	163.99	11/20/20	154.00	...	9.99	1 of 2 - Option sale to close-call ²⁵
	1.000	163.99	11/20/20	152.00	...	11.99	2 of 2 - Option sale to close-call ²⁵
11/23/20	2.000	327.98	Various	306.00	...	21.98	Total of 2 transactions
ROKU 07/10/2020 CALL \$140.00 / CUSIP: / Symbol:							
07/07/20	1.000	193.98	07/06/20	180.00	...	13.98	Option sale to close-call ²⁵
ROKU 12/04/2020 CALL \$290.00 / CUSIP: / Symbol:							
11/27/20	1.000	389.98	11/27/20	320.00	...	69.98	Option sale to close-call ²⁵
ROKU 12/24/2020 PUT \$340.00 / CUSIP: / Symbol:							
	3 transactions for 12/23/20. Total proceeds and cost reported to the IRS.						
	1.000	174.98	12/22/20	91.00	...	83.98	1 of 3 - Option sale to close-put ²⁵
	1.000	27.99	12/23/20	72.00	...	-44.01	2 of 3 - Option sale to close-put ²⁵
	1.000	27.99	12/23/20	35.00	...	-7.01	3 of 3 - Option sale to close-put ²⁵
12/23/20	3.000	230.96	Various	198.00	...	32.96	Total of 3 transactions
SBUX 10/16/2020 CALL \$90.00 / CUSIP: / Symbol:							
09/15/20	1.000	175.98	09/14/20	161.00	...	14.98	Option sale to close-call ²⁵

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SBUX 11/06/2020 CALL \$100.00 / CUSIP: / Symbol:							
10/26/20	3.000	98.98	10/22/20	78.00	...	20.98	Option sale to close-call ²⁵
SDC 09/04/2020 CALL \$11.00 / CUSIP: / Symbol:							
09/04/20	1.000	0.00	09/03/20	17.00	...	-17.00	Option expiration- long call
SDC 09/18/2020 CALL \$11.00 / CUSIP: / Symbol:							
<i>3 transactions for 09/03/20. Total proceeds and cost reported to the IRS.</i>							
	1.000	68.98	09/02/20	32.00	...	36.98	1 of 3 - Option sale to close-call ²⁵
	1.000	68.98	09/02/20	32.00	...	36.98	2 of 3 - Option sale to close-call ²⁵
	2.000	131.98	09/02/20	88.00	...	43.98	3 of 3 - Option sale to close-call ²⁵
09/03/20	4.000	269.94	Various	152.00	...	117.94	Total of 3 transactions
SHAK 10/16/2020 CALL \$70.00 / CUSIP: / Symbol:							
10/09/20	1.000	274.98	10/08/20	203.00	...	71.98	Option sale to close-call ²⁵
SHLL 10/02/2020 CALL \$60.00 / CUSIP: / Symbol:							
<i>2 transactions for 09/28/20. Total proceeds and cost reported to the IRS.</i>							
	1.000	214.99	09/25/20	120.00	...	94.99	1 of 2 - Option sale to close-call ²⁵
	1.000	214.99	09/25/20	115.00	...	99.99	2 of 2 - Option sale to close-call ²⁵
09/28/20	2.000	429.98	Various	235.00	...	194.98	Total of 2 transactions
SHOO 11/20/2020 CALL \$30.00 / CUSIP: / Symbol:							
10/28/20	1.000	9.98	10/27/20	35.00	...	-25.02	Option sale to close-call ²⁵
SKT 12/18/2020 CALL \$9.00 / CUSIP: / Symbol:							
<i>2 transactions for 11/13/20. Total proceeds and cost reported to the IRS.</i>							
	1.000	39.98	11/12/20	28.00	...	11.98	1 of 2 - Option sale to close-call ²⁵
	1.000	41.98	11/12/20	28.00	...	13.98	2 of 2 - Option sale to close-call ²⁵
11/13/20	2.000	81.96	Various	56.00	...	25.96	Total of 2 transactions
SLV 11/20/2020 CALL \$30.00 / CUSIP: / Symbol:							
09/01/20	1.000	161.98	08/31/20	149.00	...	12.98	Option sale to close-call ²⁵
SMAR 07/17/2020 CALL \$55.00 / CUSIP: / Symbol:							
06/19/20	1.000	174.98	06/18/20	170.00	...	4.98	Option sale to close-call ²⁵

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SMAR 07/17/2020 CALL \$60.00 / CUSIP: / Symbol:							
3 transactions for 07/17/20. Total proceeds and cost reported to the IRS.							
	2.000	0.00	06/23/20	190.00	...	-190.00	1 of 3 - Option expiration- long call
	2.000	0.00	06/23/20	170.00	...	-170.00	2 of 3 - Option expiration- long call
	1.000	0.00	07/02/20	30.00	...	-30.00	3 of 3 - Option expiration- long call
07/17/20	5.000	0.00	Various	390.00	...	-390.00	Total of 3 transactions
SNAP 01/15/2021 CALL \$42.00 / CUSIP: / Symbol:							
11/19/20	1.000	314.98	11/18/20	268.00	...	46.98	Option sale to close-call ²⁵
SNAP 06/26/2020 CALL \$22.00 / CUSIP: / Symbol:							
06/19/20	1.000	65.98	06/17/20	65.00	...	0.98	Option sale to close-call ²⁵
SNAP 10/23/2020 CALL \$35.00 / CUSIP: / Symbol:							
10/21/20	1.000	133.98	10/19/20	28.00	...	105.98	Option sale to close-call ²⁵
SNAP 11/20/2020 CALL \$45.00 / CUSIP: / Symbol:							
11/06/20	1.000	149.98	11/04/20	90.00	...	59.98	Option sale to close-call ²⁵
SNAP 11/20/2020 CALL \$50.00 / CUSIP: / Symbol:							
11/03/20	1.000	28.98	10/26/20	59.00	30.02 W	0.00	Option sale to close-call ²⁵
11/19/20	1.000	1.98	11/09/20	82.02	...	-80.04	Option sale to close-call ²⁵
	Security total:	30.96		141.02	30.02 W	-80.04	
SONO 01/15/2021 CALL \$30.00 / CUSIP: / Symbol:							
12/15/20	1.000	13.98	11/30/20	51.00	...	-37.02	Option sale to close-call ²⁵
SPCE 07/17/2020 CALL \$17.00 / CUSIP: / Symbol:							
2 transactions for 07/02/20. Total proceeds and cost reported to the IRS.							
	1.000	111.98	07/01/20	104.00	...	7.98	1 of 2 - Option sale to close-call ²⁵
	1.000	111.98	07/01/20	104.00	...	7.98	2 of 2 - Option sale to close-call ²⁵
07/02/20	2.000	223.96	Various	208.00	...	15.96	Total of 2 transactions
2 transactions for 07/09/20. Total proceeds and cost reported to the IRS.							
	1.000	206.98	07/02/20	101.00	...	105.98	1 of 2 - Option sale to close-call ²⁵
	1.000	206.98	07/06/20	60.00	...	146.98	2 of 2 - Option sale to close-call ²⁵
07/09/20	2.000	413.96	Various	161.00	...	252.96	Total of 2 transactions

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SPCE 07/17/2020 CALL \$17.00 / CUSIP: / Symbol: (cont'd)							
Security total:		637.92		369.00	...	268.92	
SPCE 07/31/2020 CALL \$25.00 / CUSIP: / Symbol:							
07/13/20	2.000	277.98	07/09/20	174.00	...	103.98	Option sale to close-call ²⁵
SPCE 10/30/2020 CALL \$27.50 / CUSIP: / Symbol:							
10/23/20	5.000	14.98	10/20/20	205.00	...	-190.02	Option sale to close-call ²⁵
SPXS 07/17/2020 CALL \$8.00 / CUSIP: / Symbol:							
07/09/20	1.000	18.98	07/01/20	35.00	...	-16.02	Option sale to close-call ²⁵
SPXS 08/21/2020 CALL \$7.00 / CUSIP: / Symbol:							
2 transactions for 07/24/20. Total proceeds and cost reported to the IRS.							
	1.000	51.99	07/16/20	64.00	...	-12.01	1 of 2 - Option sale to close-call ²⁵
	2.000	103.98	07/21/20	106.01	...	-2.03	2 of 2 - Option sale to close-call ²⁵
07/24/20	3.000	155.97	Various	170.01	...	-14.04	Total of 2 transactions
07/24/20	2.000	103.99	07/16/20	132.00	28.01 W	0.00	Option sale to close-call ²⁵
Security total:		259.96		302.01	28.01 W	-14.04	
SPY 06/17/2020 CALL \$311.00 / CUSIP: / Symbol:							
06/16/20	1.000	563.97	06/15/20	76.00	...	487.97	Option sale to close-call ²⁵
SPY 06/19/2020 CALL \$311.00 / CUSIP: / Symbol:							
06/12/20	1.000	362.98	06/11/20	232.00	...	130.98	Option sale to close-call ²⁵
SPY 06/19/2020 CALL \$325.00 / CUSIP: / Symbol:							
2 transactions for 06/19/20. Total proceeds and cost reported to the IRS.							
	2.000	0.00	06/16/20	118.00	...	-118.00	1 of 2 - Option expiration- long call
	2.000	0.00	06/17/20	34.00	...	-34.00	2 of 2 - Option expiration- long call
06/19/20	4.000	0.00	Various	152.00	...	-152.00	Total of 2 transactions
SPY 06/19/2020 CALL \$328.00 / CUSIP: / Symbol:							
06/19/20	2.000	0.00	06/17/20	16.00	...	-16.00	Option expiration- long call
SPY 06/19/2020 PUT \$289.00 / CUSIP: / Symbol:							
06/12/20	1.000	143.98	06/11/20	367.00	...	-223.02	Option sale to close-put ²⁵

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SPY 06/24/2020 PUT \$303.00 / CUSIP: / Symbol:							
06/19/20	1.000	253.98	06/18/20	250.00	...	3.98	Option sale to close-put ²⁵
SPY 08/14/2020 CALL \$335.00 / CUSIP: / Symbol:							
08/12/20	1.000	330.98	08/11/20	149.00	...	181.98	Option sale to close-call ²⁵
SPY 10/05/2020 PUT \$330.00 / CUSIP: / Symbol:							
09/30/20	1.000	215.98	09/29/20	268.00	...	-52.02	Option sale to close-put ²⁵
SPY 10/07/2020 CALL \$340.00 / CUSIP: / Symbol:							
10/06/20	1.000	66.98	10/06/20	58.00	...	8.98	Option sale to close-call ²⁵
SPY 10/07/2020 PUT \$330.00 / CUSIP: / Symbol:							
10/06/20	1.000	51.98	10/02/20	185.00	...	-133.02	Option sale to close-put ²⁵
SPY 10/21/2020 CALL \$350.00 / CUSIP: / Symbol:							
2 transactions for 10/20/20. Total proceeds and cost reported to the IRS.							
	1.000	40.99	10/19/20	101.00	...	-60.01	1 of 2 - Option sale to close-call ²⁵
	1.000	40.99	10/19/20	64.00	...	-23.01	2 of 2 - Option sale to close-call ²⁵
10/20/20	2.000	81.98	Various	165.00	...	-83.02	Total of 2 transactions
SQ 06/26/2020 CALL \$110.00 / CUSIP: / Symbol:							
2 transactions for 06/22/20. Total proceeds and cost reported to the IRS.							
	1.000	106.98	06/17/20	79.00	...	27.98	1 of 2 - Option sale to close-call ²⁵
	1.000	106.98	06/17/20	79.00	...	27.98	2 of 2 - Option sale to close-call ²⁵
06/22/20	2.000	213.96	Various	158.00	...	55.96	Total of 2 transactions
SQ 09/11/2020 CALL \$177.50 / CUSIP: / Symbol:							
2 transactions for 08/31/20. Total proceeds and cost reported to the IRS.							
	1.000	157.99	08/27/20	190.00	...	-32.01	1 of 2 - Option sale to close-call ²⁵
	1.000	157.99	08/28/20	101.00	...	56.99	2 of 2 - Option sale to close-call ²⁵
08/31/20	2.000	315.98	Various	291.00	...	24.98	Total of 2 transactions
SQ 10/09/2020 CALL \$180.00 / CUSIP: / Symbol:							
09/29/20	1.000	265.98	09/28/20	158.00	...	107.98	Option sale to close-call ²⁵

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SQ 11/27/2020 CALL \$200.00 / CUSIP: / Symbol:							
11/20/20	1.000	369.98	11/19/20	240.00	...	129.98	Option sale to close-call ²⁵
SQ 11/27/2020 CALL \$225.00 / CUSIP: / Symbol:							
11/25/20	1.000	26.98	11/23/20	68.00	...	-41.02	Option sale to close-call ²⁵
SQ 12/31/2020 CALL \$250.00 / CUSIP: / Symbol:							
12/28/20	1.000	25.98	12/24/20	242.04	...	-216.06	Option sale to close-call ²⁵
2 transactions for 12/28/20. Total proceeds and cost reported to the IRS.							
	1.000	25.98	12/23/20	162.00	136.02 W	0.00	1 of 2 - Option sale to close-call ²⁵
	1.000	25.98	12/24/20	202.02	176.04 W	0.00	2 of 2 - Option sale to close-call ²⁵
12/28/20	2.000	51.96	Various	364.02	312.06 W	0.00	Total of 2 transactions
	Security total:	77.94		606.06	312.06 W	-216.06	
SQQQ 09/18/2020 PUT \$21.00 / CUSIP: / Symbol:							
08/27/20	2.000	251.98	08/26/20	148.00	...	103.98	Option sale to close-put ²⁵
SQQQ 10/02/2020 PUT \$25.00 / CUSIP: / Symbol:							
2 transactions for 09/24/20. Total proceeds and cost reported to the IRS.							
	1.000	54.98	09/23/20	71.00	...	-16.02	1 of 2 - Option sale to close-put ²⁵
	1.000	54.98	09/23/20	71.00	...	-16.02	2 of 2 - Option sale to close-put ²⁵
09/24/20	2.000	109.96	Various	142.00	...	-32.04	Total of 2 transactions
SRNE 10/16/2020 CALL \$7.00 / CUSIP: / Symbol:							
09/17/20	1.000	359.98	09/15/20	155.00	...	204.98	Option sale to close-call ²⁵
SRNE 11/20/2020 PUT \$7.00 / CUSIP: / Symbol:							
2 transactions for 11/20/20. Total proceeds and cost reported to the IRS.							
	1.000	0.00	11/19/20	5.00	...	-5.00	1 of 2 - Option expiration- long put
	1.000	0.00	11/19/20	5.00	...	-5.00	2 of 2 - Option expiration- long put
11/20/20	2.000	0.00	Various	10.00	...	-10.00	Total of 2 transactions
T 11/20/2020 CALL \$28.50 / CUSIP: / Symbol:							
10/23/20	1.000	46.98	10/22/20	61.00	...	-14.02	Option sale to close-call ²⁵

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TACO 08/21/2020 CALL \$10.00 / CUSIP: / Symbol:							
08/13/20	1.000	8.98	07/27/20	25.00	...	-16.02	Option sale to close-call ²⁵
TACO 09/18/2020 CALL \$7.50 / CUSIP: / Symbol:							
3 transactions for 08/13/20. Total proceeds and cost reported to the IRS.							
	2.000	309.99	07/27/20	220.00	...	89.99	1 of 3 - Option sale to close-call ²⁵
	1.000	154.99	07/28/20	95.00	...	59.99	2 of 3 - Option sale to close-call ²⁵
	1.000	154.99	07/28/20	95.00	...	59.99	3 of 3 - Option sale to close-call ²⁵
08/13/20	4.000	619.97	Various	410.00	...	209.97	Total of 3 transactions
TECK 11/20/2020 CALL \$16.00 / CUSIP: / Symbol:							
10/26/20	5.000	114.98	10/16/20	180.00	...	-65.02	Option sale to close-call ²⁵
TGT 09/18/2020 CALL \$175.00 / CUSIP: / Symbol:							
09/08/20	1.000	3.98	09/04/20	8.00	...	-4.02	Option sale to close-call ²⁵
TGT 10/16/2020 CALL \$160.00 / CUSIP: / Symbol:							
09/28/20	2.000	435.98	09/28/20	408.00	...	27.98	Option sale to close-call ²⁵
TGT 11/20/2020 CALL \$170.00 / CUSIP: / Symbol:							
09/21/20	1.000	138.98	09/18/20	170.00	...	-31.02	Option sale to close-call ²⁵
TME 08/21/2020 CALL \$17.00 / CUSIP: / Symbol:							
2 transactions for 08/21/20. Total proceeds and cost reported to the IRS.							
	1.000	0.00	08/06/20	55.00	...	-55.00	1 of 2 - Option expiration- long call
	1.000	0.00	08/06/20	55.00	...	-55.00	2 of 2 - Option expiration- long call
08/21/20	2.000	0.00	Various	110.00	...	-110.00	Total of 2 transactions
TSLA 07/10/2020 PUT \$1,000.00 / CUSIP: / Symbol:							
07/10/20	1.000	2.98	07/02/20	302.00	...	-299.02	Option sale to close-put ²⁵
TSLA 09/11/2020 CALL \$400.00 / CUSIP: / Symbol:							
2 transactions for 09/09/20. Total proceeds and cost reported to the IRS.							
	1.000	379.98	09/08/20	231.00	...	148.98	1 of 2 - Option sale to close-call ²⁵
	1.000	141.98	09/09/20	231.00	...	-89.02	2 of 2 - Option sale to close-call ²⁵
09/09/20	2.000	521.96	Various	462.00	...	59.96	Total of 2 transactions

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Robinhood Securities LLC

Account 119938009

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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TSLA 09/18/2020 CALL \$450.00 / CUSIP: / Symbol:							
09/10/20	1.000	634.97	09/09/20	375.00	...	259.97	Option sale to close-call ²⁵
TSLA 09/18/2020 CALL \$500.00 / CUSIP: / Symbol:							
09/15/20	1.000	774.97	09/15/20	355.00	...	419.97	Option sale to close-call ²⁵
09/16/20	1.000	524.97	09/15/20	375.00	...	149.97	Option sale to close-call ²⁵
	Security total:	1,299.94		730.00	...	569.94	
TSLA 09/25/2020 CALL \$550.00 / CUSIP: / Symbol:							
09/15/20	1.000	1,549.95	09/14/20	540.00	...	1,009.95	Option sale to close-call ²⁵
09/21/20	1.000	864.97	09/21/20	875.04	...	-10.07	Option sale to close-call ²⁵
09/21/20	1.000	929.96	09/18/20	960.00	30.04 W	0.00	Option sale to close-call ²⁵
	Security total:	3,344.88		2,375.04	30.04 W	999.88	
TSLA 10/09/2020 CALL \$500.00 / CUSIP: / Symbol:							
10/05/20	1.000	68.98	10/02/20	214.00	...	-145.02	Option sale to close-call ²⁵
TSLA 10/23/2020 CALL \$600.00 / CUSIP: / Symbol:							
	<i>2 transactions for 10/22/20. Total proceeds and cost reported to the IRS.</i>						
	1.000	0.99	10/16/20	116.00	...	-115.01	1 of 2 - Option sale to close-call ²⁵
	1.000	0.99	10/19/20	29.00	...	-28.01	2 of 2 - Option sale to close-call ²⁵
10/22/20	2.000	1.98	Various	145.00	...	-143.02	Total of 2 transactions
TSLA 11/20/2020 CALL \$550.00 / CUSIP: / Symbol:							
11/19/20	1.000	334.98	11/19/20	152.00	...	182.98	Option sale to close-call ²⁵
TSLA 11/27/2020 CALL \$525.00 / CUSIP: / Symbol:							
11/20/20	1.000	684.97	11/20/20	800.00	...	-115.03	Option sale to close-call ²⁵
TSLA 11/27/2020 CALL \$650.00 / CUSIP: / Symbol:							
11/27/20	1.000	6.98	11/25/20	46.00	...	-39.02	Option sale to close-call ²⁵
TXN 07/17/2020 CALL \$128.00 / CUSIP: / Symbol:							
07/13/20	1.000	514.97	06/23/20	415.00	...	99.97	Option sale to close-call ²⁵
U 12/18/2020 CALL \$150.00 / CUSIP: / Symbol:							
11/20/20	1.000	469.97	11/18/20	340.00	...	129.97	Option sale to close-call ²⁵

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UBER 10/30/2020 CALL \$38.00 / CUSIP: / Symbol:							
10/26/20	1.000	20.98	10/12/20	76.00	...	-55.02	Option sale to close-call ²⁵
ULTA 09/18/2020 CALL \$265.00 / CUSIP: / Symbol:							
09/10/20	2.000	71.98	09/04/20	290.00	...	-218.02	Option sale to close-call ²⁵
VIPS 07/02/2020 CALL \$20.00 / CUSIP: / Symbol:							
06/16/20	1.000	49.98	06/15/20	50.00	...	-0.02	Option sale to close-call ²⁵
VZ 10/30/2020 CALL \$61.00 / CUSIP: / Symbol:							
10/14/20	1.000	37.98	10/13/20	52.00	...	-14.02	Option sale to close-call ²⁵
WDAY 09/18/2020 CALL \$300.00 / CUSIP: / Symbol:							
09/10/20	1.000	0.98	08/28/20	155.00	...	-154.02	Option sale to close-call ²⁵
WFC 02/19/2021 CALL \$37.50 / CUSIP: / Symbol:							
12/08/20	2.000	63.98	12/07/20	70.00	...	-6.02	Option sale to close-call ²⁵
WKHS 07/24/2020 CALL \$20.00 / CUSIP: / Symbol:							
07/13/20	1.000	109.98	07/10/20	85.00	...	24.98	Option sale to close-call ²⁵
WKHS 09/18/2020 CALL \$20.00 / CUSIP: / Symbol:							
08/26/20	1.000	145.98	08/25/20	140.00	...	5.98	Option sale to close-call ²⁵
	3 transactions for 08/28/20. Total proceeds and cost reported to the IRS.						
	1.000	105.99	08/25/20	140.00	...	-34.01	1 of 3 - Option sale to close-call ²⁵
	1.000	106.00	08/26/20	140.00	...	-34.00	2 of 3 - Option sale to close-call ²⁵
	1.000	105.99	08/26/20	130.00	...	-24.01	3 of 3 - Option sale to close-call ²⁵
08/28/20	3.000	317.98	Various	410.00	...	-92.02	Total of 3 transactions
	Security total:	463.96		550.00	...	-86.04	
WKHS 10/16/2020 CALL \$25.00 / CUSIP: / Symbol:							
10/14/20	1.000	34.98	10/13/20	51.00	...	-16.02	Option sale to close-call ²⁵

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(continued)

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WMT 11/06/2020 CALL \$150.00 / CUSIP: / Symbol:							
2 transactions for 10/13/20. Total proceeds and cost reported to the IRS.							
	1.000	228.98	10/12/20	200.00	...	28.98	1 of 2 - Option sale to close-call ²⁵
	1.000	225.98	10/12/20	189.00	...	36.98	2 of 2 - Option sale to close-call ²⁵
10/13/20	2.000	454.96	Various	389.00	...	65.96	Total of 2 transactions
WORK 12/04/2020 CALL \$49.00 / CUSIP: / Symbol:							
12/01/20	1.000	39.98	11/30/20	35.00	...	4.98	Option sale to close-call ²⁵
WSM 08/21/2020 CALL \$90.00 / CUSIP: / Symbol:							
07/10/20	1.000	280.98	07/09/20	245.00	...	35.98	Option sale to close-call ²⁵
XOM 06/19/2020 CALL \$47.50 / CUSIP: / Symbol:							
06/19/20	1.000	45.98	06/17/20	76.00	...	-30.02	Option sale to close-call ²⁵
Z 08/28/2020 CALL \$100.00 / CUSIP: / Symbol:							
08/28/20	1.000	0.00	08/10/20	54.00	...	-54.00	Option expiration- long call
Z 12/18/2020 CALL \$130.00 / CUSIP: / Symbol:							
11/17/20	1.000	63.98	11/12/20	172.00	...	-108.02	Option sale to close-call ²⁵
ZM 09/11/2020 PUT \$300.00 / CUSIP: / Symbol:							
09/08/20	1.000	149.98	09/04/20	155.00	...	-5.02	Option sale to close-put ²⁵
ZM 10/23/2020 CALL \$610.00 / CUSIP: / Symbol:							
10/21/20	1.000	64.98	10/20/20	200.02	...	-135.04	Option sale to close-call ²⁵
10/21/20	1.000	64.98	10/20/20	165.00	100.02 W	0.00	Option sale to close-call ²⁵
	Security total:	129.96		365.02	100.02 W	-135.04	
ZM 10/30/2020 CALL \$600.00 / CUSIP: / Symbol:							
10/26/20	1.000	139.98	10/26/20	185.00	...	-45.02	Option sale to close-call ²⁵
ZNGA 08/14/2020 CALL \$11.00 / CUSIP: / Symbol:							
08/06/20	1.000	6.98	08/05/20	22.00	...	-15.02	Option sale to close-call ²⁵
ZS 08/07/2020 CALL \$135.00 / CUSIP: / Symbol:							
07/02/20	2.000	241.98	06/30/20	200.00	...	41.98	Option sale to close-call ²⁵

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(continued)

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ZS 09/11/2020 CALL \$200.00 / CUSIP: / Symbol:							
09/10/20	1.000	3.98	09/09/20	18.00	...	-14.02	Option sale to close-call ²⁵
ZS 12/11/2020 CALL \$200.00 / CUSIP: / Symbol:							
2 transactions for 12/08/20. Total proceeds and cost reported to the IRS.							
	1.000	133.98	12/08/20	79.00	...	54.98	1 of 2 - Option sale to close-call ²⁵
	2.000	299.98	12/08/20	158.00	...	141.98	2 of 2 - Option sale to close-call ²⁵
12/08/20	3.000	433.96	Various	237.00	...	196.96	Total of 2 transactions
ZS 12/24/2020 CALL \$200.00 / CUSIP: / Symbol:							
2 transactions for 12/16/20. Total proceeds and cost reported to the IRS.							
	1.000	105.99	12/15/20	114.00	...	-8.01	1 of 2 - Option sale to close-call ²⁵
	1.000	105.99	12/15/20	67.00	...	38.99	2 of 2 - Option sale to close-call ²⁵
12/16/20	2.000	211.98	Various	181.00	...	30.98	Total of 2 transactions
ZUO 09/18/2020 CALL \$16.00 / CUSIP: / Symbol:							
09/02/20	1.000	274.98	09/01/20	72.00	...	202.98	Option sale to close-call ²⁵
ARCA BIOPHARMA, INC. COMMON STOCK / CUSIP: 00211Y506 / Symbol:							
10 transactions for 06/10/20. Total proceeds and cost reported to the IRS.							
	1.000	9.01	06/08/20	8.50	...	0.51	1 of 10 - Sale ²⁵
	5.000	45.05	06/08/20	39.93	...	5.12	2 of 10 - Sale ²⁵
	49.000	441.47	06/08/20	416.50	...	24.97	3 of 10 - Sale ²⁵
	30.000	270.29	06/08/20	240.60	...	29.69	4 of 10 - Sale ²⁵
	50.000	450.48	06/08/20	420.00	...	30.48	5 of 10 - Sale ²⁵
	35.000	315.34	06/08/20	280.00	...	35.34	6 of 10 - Sale ²⁵
	100.000	900.97	06/08/20	820.00	...	80.97	7 of 10 - Sale ²⁵
	80.000	720.78	06/08/20	636.00	...	84.78	8 of 10 - Sale ²⁵
	50.000	450.48	06/10/20	400.00	...	50.48	9 of 10 - Sale ²⁵
	49.000	441.48	06/10/20	381.36	...	60.12	10 of 10 - Sale ²⁵
06/10/20	449.000	4,045.35	Various	3,642.89	...	402.46	Total of 10 transactions

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ACAMAR PARTNERS ACQUISITION CO RP. CLASS A COMMON STOCK / CUSIP: 004285102 / Symbol:							
2 transactions for 12/29/20. Total proceeds and cost reported to the IRS.							
	6.000	67.29	12/28/20	67.83	...	-0.54	1 of 2 - Sale ²⁵
	3.000	33.64	12/28/20	33.93	...	-0.29	2 of 2 - Sale ²⁵
12/29/20	9.000	100.93	Various	101.76	...	-0.83	Total of 2 transactions
ACTINIUM PHARMACEUTICALS, INC / CUSIP: 00507W107 / Symbol:							
2 transactions for 04/09/20. Total proceeds and cost reported to the IRS.							
	200.000	38.40	03/06/20	58.98	...	-20.58	1 of 2 - Sale ²⁵
	300.000	57.59	03/16/20	57.00	...	0.59	2 of 2 - Sale ²⁵
04/09/20	500.000	95.99	Various	115.98	...	-19.99	Total of 2 transactions
AGEAGLE AERIAL SYSTEMS, INC. / CUSIP: 00848K101 / Symbol:							
3 transactions for 07/27/20. Total proceeds and cost reported to the IRS.							
	77.000	244.85	07/23/20	244.86	...	-0.01	1 of 3 - Sale ²⁵
	23.000	73.14	07/23/20	73.14	...	0.00	2 of 3 - Sale ²⁵
	50.000	158.99	07/24/20	146.25	...	12.74	3 of 3 - Sale ²⁵
07/27/20	150.000	476.98	Various	464.25	...	12.73	Total of 3 transactions
AIKIDO PHARMA INC. COMMON STOC K / CUSIP: 008875106 / Symbol:							
2 transactions for 06/09/20. Total proceeds and cost reported to the IRS.							
	250.000	188.11	06/08/20	180.00	...	8.11	1 of 2 - Sale ²⁵
	500.000	376.23	06/08/20	365.00	...	11.23	2 of 2 - Sale ²⁵
06/09/20	750.000	564.34	Various	545.00	...	19.34	Total of 2 transactions
ALPHA PRO TECH, LTD. / CUSIP: 020772109 / Symbol:							
3 transactions for 05/26/20. Total proceeds and cost reported to the IRS.							
	25.000	318.25	05/18/20	349.75	...	-31.50	1 of 3 - Sale ²⁵
	10.000	127.30	05/22/20	131.30	...	-4.00	2 of 3 - Sale ²⁵
	1.000	12.73	05/22/20	13.13	...	-0.40	3 of 3 - Sale ²⁵
05/26/20	36.000	458.28	Various	494.18	...	-35.90	Total of 3 transactions

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AMERICAN AIRLINES GROUP INC. C OMMON STOCK / CUSIP: 02376R102 / Symbol:							
04/20/20	10.000	111.20	04/16/20	112.20	1.00 W	0.00	Sale ²⁵
	2 transactions for 05/05/20. Total proceeds and cost reported to the IRS.						
	10.000	97.50	05/04/20	97.50	...	0.00	1 of 2 - Sale ²⁵
	40.000	390.00	05/04/20	386.00	...	4.00	2 of 2 - Sale ²⁵
05/05/20	50.000	487.50	Various	483.50	...	4.00	Total of 2 transactions
	2 transactions for 05/26/20. Total proceeds and cost reported to the IRS.						
	10.000	106.30	05/22/20	97.10	...	9.20	1 of 2 - Sale ²⁵
	15.000	159.45	05/22/20	145.62	...	13.83	2 of 2 - Sale ²⁵
05/26/20	25.000	265.75	Various	242.72	...	23.03	Total of 2 transactions
	Security total:	864.45		838.42	1.00 W	27.03	
AMERICAN VIRTUAL CLOUD TECHNOLOGIES, INC. COMMON STOCK / CUSIP: 030382105 / Symbol:							
	2 transactions for 05/28/20. Total proceeds and cost reported to the IRS.						
	111.000	170.93	05/26/20	179.82	...	-8.89	1 of 2 - Sale ²⁵
	89.000	137.05	05/26/20	144.18	...	-7.13	2 of 2 - Sale ²⁵
05/28/20	200.000	307.98	Various	324.00	...	-16.02	Total of 2 transactions
APEX TECHNOLOGY ACQUISITION CORPORATION CLASS A COMMON STOCK / CUSIP: 03768F102 / Symbol:							
	2 transactions for 12/07/20. Total proceeds and cost reported to the IRS.						
	2.000	29.62	12/04/20	28.18	...	1.44	1 of 2 - Sale ²⁵
	2.000	29.62	12/04/20	28.02	...	1.60	2 of 2 - Sale ²⁵
12/07/20	4.000	59.24	Various	56.20	...	3.04	Total of 2 transactions
APPLE INC. COMMON STOCK / CUSIP: 037833100 / Symbol:							
05/11/20	3.000	934.65	05/08/20	928.95	...	5.70	Sale ²⁵
APTINYX INC. COMMON STOCK / CUSIP: 03836N103 / Symbol:							
05/06/20	4.000	13.73	05/04/20	11.52	...	2.21	Sale ²⁵
05/19/20	100.000	382.49	05/18/20	355.50	...	26.99	Sale ²⁵
	14 transactions for 06/03/20. Total proceeds and cost reported to the IRS.						
	100.000	371.99	05/26/20	423.50	...	-51.51	1 of 14 - Sale ²⁵
	50.000	186.00	05/27/20	197.97	...	-11.97	2 of 14 - Sale ²⁵
	5.000	18.60	05/27/20	18.50	...	0.10	3 of 14 - Sale ²⁵
	45.000	167.39	05/29/20	173.70	...	-6.31	4 of 14 - Sale ²⁵

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Robinhood Securities LLC

Account 119938009

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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APTINX INC. COMMON STOCK / CUSIP: 03836N103 / Symbol: (cont'd)							
	5.000	18.60	05/29/20	18.70	...	-0.10	5 of 14 - Sale ²⁵
	3.000	11.16	05/29/20	11.20	...	-0.04	6 of 14 - Sale ²⁵
	2.000	7.44	05/29/20	7.46	...	-0.02	7 of 14 - Sale ²⁵
	1.000	3.72	06/01/20	3.59	...	0.13	8 of 14 - Sale ²⁵
	3.000	11.16	06/01/20	10.76	...	0.40	9 of 14 - Sale ²⁵
	10.000	37.20	06/01/20	35.85	...	1.35	10 of 14 - Sale ²⁵
	35.000	130.20	06/01/20	127.75	...	2.45	11 of 14 - Sale ²⁵
	50.000	185.99	06/01/20	179.50	...	6.49	12 of 14 - Sale ²⁵
	41.000	152.52	06/01/20	141.66	...	10.86	13 of 14 - Sale ²⁵
	100.000	371.99	06/01/20	344.00	...	27.99	14 of 14 - Sale ²⁵
06/03/20	450.000	1,673.96	Various	1,694.14	...	-20.18	Total of 14 transactions
	Security total:	2,070.18		2,061.16	...	9.02	
AURORA CANNABIS INC. COMMON SH ARES / CUSIP: 05156X108 / Symbol:							
2 transactions for 02/25/20. Total proceeds and cost reported to the IRS.							
	50.000	74.60	02/21/20	83.44	8.84 W	0.00	1 of 2 - Sale ²⁵
	60.000	89.51	02/24/20	94.20	4.69 W	0.00	2 of 2 - Sale ²⁵
02/25/20	110.000	164.11	Various	177.64	13.53 W	0.00	Total of 2 transactions
19 transactions for 05/01/20. Total proceeds and cost reported to the IRS.							
	1.000	0.70	03/18/20	0.64	...	0.06	1 of 19 - Sale ²⁵
	150.000	104.98	03/18/20	96.30	...	8.68	2 of 19 - Sale ²⁵
	50.000	34.91	04/13/20	65.08	...	-30.17	3 of 19 - Sale ²⁵
	15.000	10.47	04/13/20	26.88	...	-16.41	4 of 19 - Sale ²⁵
	10.000	6.98	04/13/20	17.41	...	-10.43	5 of 19 - Sale ²⁵
	4.000	2.79	04/13/20	5.21	...	-2.42	6 of 19 - Sale ²⁵
	6.000	4.19	04/13/20	5.12	...	-0.93	7 of 19 - Sale ²⁵
	8.000	5.59	04/13/20	6.20	...	-0.61	8 of 19 - Sale ²⁵
	7.000	4.89	04/13/20	5.42	...	-0.53	9 of 19 - Sale ²⁵
	18.000	12.57	04/16/20	31.58	...	-19.01	10 of 19 - Sale ²⁵
	6.000	4.19	04/16/20	10.91	...	-6.72	11 of 19 - Sale ²⁵
	177.000	123.58	04/16/20	125.70	...	-2.12	12 of 19 - Sale ²⁵
	1.000	0.70	04/16/20	1.82	...	-1.12	13 of 19 - Sale ²⁵
	3.000	2.09	04/16/20	2.13	...	-0.04	14 of 19 - Sale ²⁵
	2.000	1.40	04/16/20	1.42	...	-0.02	15 of 19 - Sale ²⁵

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2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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AURORA CANNABIS INC. COMMON SH ARES / CUSIP: 05156X108 / Symbol: (cont'd)							
	1.000	0.70	04/16/20	0.69	...	0.01	16 of 19 - Sale ²⁵
	2.000	1.40	04/16/20	1.39	...	0.01	17 of 19 - Sale ²⁵
	14.000	9.77	04/16/20	9.73	...	0.04	18 of 19 - Sale ²⁵
	176.000	122.88	04/16/20	117.03	...	5.85	19 of 19 - Sale ²⁵
05/01/20	651.000	454.78	Various	530.66	...	-75.88	Total of 19 transactions
	15 transactions for 05/01/20. Total proceeds and cost reported to the IRS.						
	25.000	17.50	02/24/20	43.67	26.17 W	0.00	1 of 15 - Sale ²⁵
	15.000	10.50	02/24/20	26.20	15.70 W	0.00	2 of 15 - Sale ²⁵
	10.000	7.00	02/25/20	16.96	9.96 W	0.00	3 of 15 - Sale ²⁵
	4.000	2.80	03/06/20	5.03	2.23 W	0.00	4 of 15 - Sale ²⁵
	50.000	34.99	03/06/20	62.81	27.82 W	0.00	5 of 15 - Sale ²⁵
	6.000	4.20	03/17/20	4.85	0.65 W	0.00	6 of 15 - Sale ²⁵
	29.000	20.30	03/17/20	21.17	0.87 W	0.00	7 of 15 - Sale ²⁵
	2.000	1.40	03/17/20	1.46	0.06 W	0.00	8 of 15 - Sale ²⁵
	1.000	0.70	03/17/20	0.73	0.03 W	0.00	9 of 15 - Sale ²⁵
	6.000	4.20	04/01/20	11.12	6.92 W	0.00	10 of 15 - Sale ²⁵
	1.000	0.70	04/03/20	1.86	1.16 W	0.00	11 of 15 - Sale ²⁵
	18.000	12.60	04/13/20	32.21	19.61 W	0.00	12 of 15 - Sale ²⁵
	2.000	1.40	04/13/20	1.49	0.09 W	0.00	13 of 15 - Sale ²⁵
	3.000	2.10	04/13/20	2.24	0.14 W	0.00	14 of 15 - Sale ²⁵
	177.000	123.87	04/13/20	131.88	8.01 W	0.00	15 of 15 - Sale ²⁵
05/01/20	349.000	244.26	Various	363.68	119.42 W	0.00	Total of 15 transactions
	Security total:	863.15		1,071.98	132.95 W	-75.88	
AURORA CANNABIS INC. COMMON SH ARES / CUSIP: 05156X884 / Symbol:							
05/21/20	10.000	161.79	05/20/20	158.60	...	3.19	Sale ²⁵
11/24/20	15.000	135.33	11/20/20	107.40	...	27.93	Sale ²⁵
	Security total:	297.12		266.00	...	31.12	
AYRO, INC. COMMON STOCK / CUSIP: 054748108 / Symbol:							
	4 transactions for 06/03/20. Total proceeds and cost reported to the IRS.						
	40.000	94.32	05/28/20	169.98	...	-75.66	1 of 4 - Sale ²⁵
	40.000	94.31	06/01/20	106.00	...	-11.69	2 of 4 - Sale ²⁵

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2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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AYRO, INC. COMMON STOCK / CUSIP: 054748108 / Symbol: (cont'd)							
	20.000	47.16	06/01/20	53.60	...	-6.44	3 of 4 - Sale ²⁵
	100.000	235.79	06/03/20	247.96	...	-12.17	4 of 4 - Sale ²⁵
06/03/20	200.000	471.58	Various	577.54	...	-105.96	Total of 4 transactions
BELLEROPHON THERAPEUTICS, INC. COMMON STOCK / CUSIP: 078771300 / Symbol:							
7 transactions for 02/18/20. Total proceeds and cost reported to the IRS.							
	13.333	100.00	02/07/20	57.42	...	42.58	1 of 7 - Sale ²⁵
	25.000	187.75	02/07/20	107.66	...	80.09	2 of 7 - Sale ²⁵
	41.667	312.49	02/07/20	179.44	...	133.05	3 of 7 - Sale ²⁵
	1.000	7.50	02/14/20	3.64	...	3.86	4 of 7 - Sale ²⁵
	1.000	7.50	02/14/20	3.64	...	3.86	5 of 7 - Sale ²⁵
	10.000	75.00	02/14/20	36.40	...	38.60	6 of 7 - Sale ²⁵
	100.000	749.96	02/14/20	332.00	...	417.96	7 of 7 - Sale ²⁵
02/18/20	192.000	1,440.20	Various	720.20	...	720.00	Total of 7 transactions
2 transactions for 05/20/20. Total proceeds and cost reported to the IRS.							
	6.000	80.28	05/19/20	79.20	...	1.08	1 of 2 - Sale ²⁵
	19.000	254.22	05/19/20	250.80	...	3.42	2 of 2 - Sale ²⁵
05/20/20	25.000	334.50	Various	330.00	...	4.50	Total of 2 transactions
	Security total:	1,774.70		1,050.20	...	724.50	
BRICKELL BIOTECH, INC. COMMON STOCK / CUSIP: 10802T105 / Symbol:							
2 transactions for 06/09/20. Total proceeds and cost reported to the IRS.							
	100.000	138.99	06/08/20	115.00	...	23.99	1 of 2 - Sale ²⁵
	150.000	205.48	06/08/20	172.50	...	32.98	2 of 2 - Sale ²⁵
06/09/20	250.000	344.47	Various	287.50	...	56.97	Total of 2 transactions
BROADWAY FINANCIAL CORPORATION COMMON STOCK / CUSIP: 111444105 / Symbol:							
07/06/20	50.000	185.00	07/02/20	134.75	...	50.25	Sale ²⁵
CALLON PETROLEUM COMPANY / CUSIP: 13123X102 / Symbol:							
5 transactions for 06/12/20. Total proceeds and cost reported to the IRS.							
	250.000	407.49	06/09/20	477.50	...	-70.01	1 of 5 - Sale ²⁵
	150.000	244.49	06/10/20	239.97	...	4.52	2 of 5 - Sale ²⁵
	100.000	162.99	06/10/20	155.00	...	7.99	3 of 5 - Sale ²⁵

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CALLON PETROLEUM COMPANY / CUSIP: 13123X102 / Symbol: (cont'd)							
	2.000	3.25	06/11/20	2.70	...	0.55	4 of 5 - Sale ²⁵
	248.000	404.23	06/11/20	334.80	...	69.43	5 of 5 - Sale ²⁵
06/12/20	750.000	1,222.45	Various	1,209.97	...	12.48	Total of 5 transactions
CAMBER ENERGY, INC / CUSIP: 13200M508 / Symbol:							
2 transactions for 10/13/20. Total proceeds and cost reported to the IRS.							
	20.000	24.00	10/12/20	23.20	...	0.80	1 of 2 - Sale ²⁵
	180.000	215.98	10/12/20	208.80	...	7.18	2 of 2 - Sale ²⁵
10/13/20	200.000	239.98	Various	232.00	...	7.98	Total of 2 transactions
CANAAN INC. AMERICAN DEPOSITARY SHARES / CUSIP: 134748102 / Symbol:							
06/09/20	250.000	556.20	06/09/20	535.00	...	21.20	Sale ²⁵
2 transactions for 06/22/20. Total proceeds and cost reported to the IRS.							
	100.000	200.00	06/17/20	196.00	...	4.00	1 of 2 - Sale ²⁵
	50.000	100.00	06/19/20	95.50	...	4.50	2 of 2 - Sale ²⁵
06/22/20	150.000	300.00	Various	291.50	...	8.50	Total of 2 transactions
07/14/20	65.000	117.32	07/13/20	117.98	...	-0.66	Sale ²⁵
	Security total:	973.52		944.48	...	29.04	
CATALYST PHARMACEUTICALS, INC. COMMON STOCK / CUSIP: 14888U101 / Symbol:							
04/24/20	1.000	4.86	02/10/20	4.59	...	0.27	Sale ²⁵
05/01/20	25.000	114.50	04/29/20	120.00	5.50 W	0.00	Sale ²⁵
05/12/20	5.000	24.46	05/11/20	24.25	...	0.21	Sale ²⁵
2 transactions for 05/20/20. Total proceeds and cost reported to the IRS.							
	20.000	90.00	05/19/20	92.40	...	-2.40	1 of 2 - Sale ²⁵
	30.000	135.00	05/19/20	132.00	...	3.00	2 of 2 - Sale ²⁵
05/20/20	50.000	225.00	Various	224.40	...	0.60	Total of 2 transactions
	Security total:	368.82		373.24	5.50 W	1.08	
CENTRIC BRANDS INC. COMMON STOCK / CUSIP: 15644G104 / Symbol:							
5 transactions for 05/28/20. Total proceeds and cost reported to the IRS.							
	1,000.000	100.88	05/27/20	290.43	...	-189.55	1 of 5 - Sale ²⁵
	1,424.000	143.65	05/27/20	310.43	...	-166.78	2 of 5 - Sale ²⁵
	1,000.000	100.87	05/27/20	196.50	...	-95.63	3 of 5 - Sale ²⁵

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CENTRIC BRANDS INC. COMMON STO CK / CUSIP: 15644G104 / Symbol: (cont'd)							
	1,000.000	100.88	05/27/20	169.00	...	-68.12	4 of 5 - Sale ²⁵
	500.000	50.44	05/27/20	102.55	...	-52.11	5 of 5 - Sale ²⁵
05/28/20	4,924.000	496.72	Various	1,068.91	...	-572.19	Total of 5 transactions
05/28/20	1,076.000	108.54	05/27/20	234.57	117.13 W	-8.90	Sale ²⁵
	Security total:	605.26		1,303.48	117.13 W	-581.09	
CHEGG, INC. / CUSIP: 163092109 / Symbol:							
05/05/20	10.000	580.98	05/05/20	580.43	...	0.55	Sale ²⁵
CHEMBIO DIAGNOSTICS, INC. COMM ON STOCK / CUSIP: 163572209 / Symbol:							
07/07/20	100.000	370.99	07/06/20	385.50	...	-14.51	Sale ²⁵
CLOVIS ONCOLOGY, INC. COMMON S TOCK / CUSIP: 189464100 / Symbol:							
5 transactions for 05/26/20. Total proceeds and cost reported to the IRS.							
	30.000	213.59	05/19/20	237.86	...	-24.27	1 of 5 - Sale ²⁵
	20.000	142.40	05/19/20	157.60	...	-15.20	2 of 5 - Sale ²⁵
	50.000	355.99	05/20/20	360.25	...	-4.26	3 of 5 - Sale ²⁵
	35.000	249.18	05/22/20	250.55	...	-1.37	4 of 5 - Sale ²⁵
	15.000	106.80	05/22/20	107.85	...	-1.05	5 of 5 - Sale ²⁵
05/26/20	150.000	1,067.96	Various	1,114.11	...	-46.15	Total of 5 transactions
CO-DIAGNOSTICS, INC. COMMON ST OCK / CUSIP: 189763105 / Symbol:							
05/11/20	12.000	198.12	05/08/20	182.10	...	16.02	Sale ²⁵
05/20/20	10.000	185.50	05/19/20	178.90	...	6.60	Sale ²⁵
	Security total:	383.62		361.00	...	22.62	
DELTA AIR LINES, INC. / CUSIP: 247361702 / Symbol:							
2 transactions for 04/17/20. Total proceeds and cost reported to the IRS.							
	4.000	96.32	04/15/20	94.99	...	1.33	1 of 2 - Sale ²⁵
	1.000	24.08	04/16/20	22.90	...	1.18	2 of 2 - Sale ²⁵
04/17/20	5.000	120.40	Various	117.89	...	2.51	Total of 2 transactions

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DIREXION DAILY SEMICONDUCTOR B ULL 3X SHARES / CUSIP: 25459W458 / Symbol:							
2 transactions for 05/05/20. Total proceeds and cost reported to the IRS.							
	1.000	122.64	05/01/20	111.02	...	11.62	1 of 2 - Sale ²⁵
	5.000	613.18	05/01/20	555.24	...	57.94	2 of 2 - Sale ²⁵
05/05/20	6.000	735.82	Various	666.26	...	69.56	Total of 2 transactions
05/06/20	10.000	1,289.37	05/05/20	1,231.69	...	57.68	Sale ²⁵
05/26/20	5.000	764.60	05/22/20	695.55	...	69.05	Sale ²⁵
05/27/20	5.000	742.54	05/27/20	690.75	...	51.79	Sale ²⁵
2 transactions for 05/29/20. Total proceeds and cost reported to the IRS.							
	2.000	293.21	05/28/20	291.98	...	1.23	1 of 2 - Sale ²⁵
	3.000	439.82	05/28/20	437.85	...	1.97	2 of 2 - Sale ²⁵
05/29/20	5.000	733.03	Various	729.83	...	3.20	Total of 2 transactions
	Security total:	4,265.36		4,014.08	...	251.28	
DIREXION DAILY S&P OIL & GAS E XP. & PROD. BULL 2X SHARES / CUSIP: 25460G500 / Symbol:							
05/05/20	10.000	387.00	05/04/20	356.77	...	30.23	Sale ²⁵
3 transactions for 05/07/20. Total proceeds and cost reported to the IRS.							
	2.000	72.16	05/06/20	69.84	...	2.32	1 of 3 - Sale ²⁵
	3.000	108.23	05/06/20	102.90	...	5.33	2 of 3 - Sale ²⁵
	10.000	360.79	05/06/20	349.20	...	11.59	3 of 3 - Sale ²⁵
05/07/20	15.000	541.18	Various	521.94	...	19.24	Total of 3 transactions
4 transactions for 05/07/20. Total proceeds and cost reported to the IRS.							
	20.000	721.58	05/05/20	780.97	59.39 W	0.00	1 of 4 - Sale ²⁵
	20.000	721.58	05/05/20	749.17	27.59 W	0.00	2 of 4 - Sale ²⁵
	7.000	252.55	05/05/20	254.29	1.74 W	0.00	3 of 4 - Sale ²⁵
	1.000	36.08	05/05/20	36.33	0.25 W	0.00	4 of 4 - Sale ²⁵
05/07/20	48.000	1,731.79	Various	1,820.76	88.97 W	0.00	Total of 4 transactions
4 transactions for 05/08/20. Total proceeds and cost reported to the IRS.							
	1.000	37.61	05/07/20	35.85	...	1.76	1 of 4 - Sale ²⁵
	7.000	263.26	05/07/20	250.96	...	12.30	2 of 4 - Sale ²⁵
	20.000	752.18	05/07/20	739.65	...	12.53	3 of 4 - Sale ²⁵
	22.000	827.40	05/07/20	783.28	...	44.12	4 of 4 - Sale ²⁵
05/08/20	50.000	1,880.45	Various	1,809.74	...	70.71	Total of 4 transactions
05/08/20	20.000	752.18	05/07/20	771.45	19.27 W	0.00	Sale ²⁵

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Account 119938009

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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DIREXION DAILY S&P OIL & GAS E XP. & PROD. BULL 2X SHARES / CUSIP: 25460G500 / Symbol: (cont'd)							
3 transactions for 05/18/20. Total proceeds and cost reported to the IRS.							
	3.000	105.69	05/15/20	96.52	...	9.17	1 of 3 - Sale ²⁵
	17.000	598.89	05/15/20	548.65	...	50.24	2 of 3 - Sale ²⁵
	80.000	2,818.33	05/15/20	2,504.80	...	313.53	3 of 3 - Sale ²⁵
05/18/20	100.000	3,522.91	Various	3,149.97	...	372.94	Total of 3 transactions
2 transactions for 05/20/20. Total proceeds and cost reported to the IRS.							
	10.000	383.20	05/19/20	363.34	...	19.86	1 of 2 - Sale ²⁵
	40.000	1,532.76	05/19/20	1,453.36	...	79.40	2 of 2 - Sale ²⁵
05/20/20	50.000	1,915.96	Various	1,816.70	...	99.26	Total of 2 transactions
05/21/20	50.000	1,892.44	05/20/20	1,874.50	...	17.94	Sale ²⁵
05/26/20	50.000	1,967.54	05/22/20	1,817.06	...	150.48	Sale ²⁵
05/27/20	50.000	1,987.46	05/27/20	1,898.37	...	89.09	Sale ²⁵
06/01/20	20.000	733.58	05/29/20	710.10	...	23.48	Sale ²⁵
06/01/20	30.000	1,100.37	05/28/20	1,120.80	17.02 W	-3.41	Sale ²⁵
06/15/20	25.000	1,087.47	06/12/20	1,060.07	...	27.40	Sale ²⁵
11/04/20	17.000	344.51	10/28/20	325.72	...	18.79	Sale ²⁵
2 transactions for 11/09/20. Total proceeds and cost reported to the IRS.							
	2.000	51.32	10/28/20	37.58	...	13.74	1 of 2 - Sale ²⁵
	8.000	205.28	10/28/20	153.28	...	52.00	2 of 2 - Sale ²⁵
11/09/20	10.000	256.60	Various	190.86	...	65.74	Total of 2 transactions
	Security total:	20,101.44		19,244.81	125.26 W	981.89	
EASTMAN KODAK COMPANY / CUSIP: 277461406 / Symbol:							
09/17/20	25.000	224.00	09/16/20	235.85	...	-11.85	Sale ²⁵
ENERGY FOCUS, INC. COMMON STOC K / CUSIP: 29268T409 / Symbol:							
4 transactions for 10/14/20. Total proceeds and cost reported to the IRS.							
	5.000	55.40	10/12/20	43.34	...	12.06	1 of 4 - Sale ²⁵
	10.000	111.00	10/12/20	86.68	...	24.32	2 of 4 - Sale ²⁵
	35.000	375.55	10/12/20	303.37	...	72.18	3 of 4 - Sale ²⁵
	15.000	166.20	10/13/20	126.90	...	39.30	4 of 4 - Sale ²⁵
10/14/20	65.000	708.15	Various	560.29	...	147.86	Total of 4 transactions

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2020 1099-B* OMB No. 1545-0715

(continued)

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FLEXION THERAPEUTICS, INC. COM MON STOCK / CUSIP: 33938J106 / Symbol:							
05/11/20	10.000	98.97	05/08/20	98.40	...	0.57	Sale ²⁵
FLUIDIGM CORPORATION COMMON ST OCK / CUSIP: 34385P108 / Symbol:							
05/05/20	100.000	405.38	05/04/20	367.00	...	38.38	Sale ²⁵
05/11/20	100.000	476.33	05/08/20	387.00	...	89.33	Sale ²⁵
2 transactions for 06/09/20. Total proceeds and cost reported to the IRS.							
	50.000	187.49	06/05/20	187.42	...	0.07	1 of 2 - Sale ²⁵
	100.000	374.97	06/05/20	374.00	...	0.97	2 of 2 - Sale ²⁵
06/09/20	150.000	562.46	Various	561.42	...	1.04	Total of 2 transactions
06/09/20	100.000	374.98	06/05/20	393.99	19.01 W	0.00	Sale ²⁵
06/10/20	100.000	389.01	06/09/20	414.01	...	-25.00	Sale ²⁵
	Security total:	2,208.16		2,123.42	19.01 W	103.75	
FORD MOTOR COMPANY / CUSIP: 345370860 / Symbol:							
05/08/20	100.000	505.29	05/07/20	487.68	...	17.61	Sale ²⁵
GENERAL ELECTRIC COMPANY / CUSIP: 369604103 / Symbol:							
05/07/20	100.000	615.97	05/05/20	621.50	...	-5.53	Sale ²⁵
GENIUS BRANDS INTERNATIONAL, I NC. COMMON STOCK / CUSIP: 37229T301 / Symbol:							
05/08/20	1.000	0.67	05/07/20	1.24	0.57 W	0.00	Sale ²⁵
06/08/20	49.000	298.90	06/05/20	291.38	...	7.52	Sale ²⁵
06/08/20	1.000	6.10	06/05/20	6.52	0.42 W	0.00	Sale ²⁵
5 transactions for 06/10/20. Total proceeds and cost reported to the IRS.							
	1.000	4.87	06/09/20	4.63	...	0.24	1 of 5 - Sale ²⁵
	9.000	43.83	06/09/20	37.89	...	5.94	2 of 5 - Sale ²⁵
	17.000	82.79	06/09/20	71.57	...	11.22	3 of 5 - Sale ²⁵
	23.000	112.01	06/09/20	96.83	...	15.18	4 of 5 - Sale ²⁵
	50.000	243.50	06/09/20	210.50	...	33.00	5 of 5 - Sale ²⁵
06/10/20	100.000	487.00	Various	421.42	...	65.58	Total of 5 transactions
2 transactions for 06/17/20. Total proceeds and cost reported to the IRS.							
	200.000	677.98	06/16/20	768.00	90.02 W	0.00	1 of 2 - Sale ²⁵
	50.000	169.50	06/16/20	182.49	12.99 W	0.00	2 of 2 - Sale ²⁵
06/17/20	250.000	847.48	Various	950.49	103.01 W	0.00	Total of 2 transactions
06/19/20	100.000	299.99	06/18/20	313.01	13.02 W	0.00	Sale ²⁵

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Robinhood Securities LLC

Account 119938009

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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GENIUS BRANDS INTERNATIONAL, I NC. COMMON STOCK / CUSIP: 37229T301 / Symbol: (cont'd)							
2 transactions for 07/10/20. Total proceeds and cost reported to the IRS.							
	8.000	18.68	07/06/20	26.88	8.20 W	0.00	1 of 2 - Sale ²⁵
	50.000	118.79	07/06/20	167.98	49.19 W	0.00	2 of 2 - Sale ²⁵
07/10/20	58.000	137.47	Various	194.86	57.39 W	0.00	Total of 2 transactions
07/13/20	8.000	18.40	07/07/20	18.00	...	0.40	Sale ²⁵
3 transactions for 07/13/20. Total proceeds and cost reported to the IRS.							
	42.000	96.60	07/06/20	141.11	44.51 W	0.00	1 of 3 - Sale ²⁵
	8.000	18.40	07/06/20	24.96	6.56 W	0.00	2 of 3 - Sale ²⁵
	42.000	96.59	07/07/20	99.95	3.36 W	0.00	3 of 3 - Sale ²⁵
07/13/20	92.000	211.59	Various	266.02	54.43 W	0.00	Total of 3 transactions
4 transactions for 07/15/20. Total proceeds and cost reported to the IRS.							
	3.000	7.17	07/14/20	7.41	0.24 W	0.00	1 of 4 - Sale ²⁵
	8.000	19.12	07/14/20	26.92	7.80 W	0.00	2 of 4 - Sale ²⁵
	89.000	212.71	07/14/20	219.85	7.14 W	0.00	3 of 4 - Sale ²⁵
	5.000	11.95	07/14/20	16.62	4.67 W	0.00	4 of 4 - Sale ²⁵
07/15/20	105.000	250.95	Various	270.80	19.85 W	0.00	Total of 4 transactions
16 transactions for 07/22/20. Total proceeds and cost reported to the IRS.							
	45.000	95.62	07/15/20	152.05	...	-56.43	1 of 16 - Sale ²⁵
	42.000	89.24	07/15/20	145.10	...	-55.86	2 of 16 - Sale ²⁵
	37.000	78.62	07/15/20	90.47	...	-11.85	3 of 16 - Sale ²⁵
	50.000	106.24	07/15/20	117.76	...	-11.52	4 of 16 - Sale ²⁵
	8.000	17.00	07/15/20	26.72	...	-9.72	5 of 16 - Sale ²⁵
	8.000	17.00	07/15/20	25.72	...	-8.72	6 of 16 - Sale ²⁵
	25.000	53.12	07/15/20	58.89	...	-5.77	7 of 16 - Sale ²⁵
	5.000	10.62	07/15/20	12.37	...	-1.75	8 of 16 - Sale ²⁵
	3.000	6.37	07/15/20	7.33	...	-0.96	9 of 16 - Sale ²⁵
	2.000	4.25	07/15/20	4.89	...	-0.64	10 of 16 - Sale ²⁵
	5.000	10.62	07/16/20	15.85	...	-5.23	11 of 16 - Sale ²⁵
	12.000	25.50	07/16/20	27.78	...	-2.28	12 of 16 - Sale ²⁵
	8.000	17.00	07/16/20	17.88	...	-0.88	13 of 16 - Sale ²⁵
	50.000	106.24	07/17/20	109.90	...	-3.66	14 of 16 - Sale ²⁵
	50.000	106.24	07/20/20	103.25	...	2.99	15 of 16 - Sale ²⁵

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Robinhood Securities LLC

Account 119938009

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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GENIUS BRANDS INTERNATIONAL, I NC. COMMON STOCK / CUSIP: 37229T301 / Symbol: (cont'd)							
	50.000	106.25	07/21/20	97.50	...	8.75	16 of 16 - Sale ²⁵
07/22/20	400.000	849.93	Various	1,013.46	...	-163.53	Total of 16 transactions
	4 transactions for 09/10/20. Total proceeds and cost reported to the IRS.						
	1.000	1.05	09/08/20	1.04	...	0.01	1 of 4 - Sale ²⁵
	69.000	72.79	09/08/20	71.42	...	1.37	2 of 4 - Sale ²⁵
	10.000	10.50	09/09/20	10.15	...	0.35	3 of 4 - Sale ²⁵
	20.000	21.10	09/09/20	20.30	...	0.80	4 of 4 - Sale ²⁵
09/10/20	100.000	105.44	Various	102.91	...	2.53	Total of 4 transactions
	Security total:	3,513.92		3,850.11	248.69 W	-87.50	
GILEAD SCIENCES, INC. COMMON S TOCK / CUSIP: 375558103 / Symbol:							
	2 transactions for 05/04/20. Total proceeds and cost reported to the IRS.						
	1.000	80.42	05/01/20	80.33	...	0.09	1 of 2 - Sale ²⁵
	3.000	241.26	05/01/20	240.81	...	0.45	2 of 2 - Sale ²⁵
05/04/20	4.000	321.68	Various	321.14	...	0.54	Total of 2 transactions
GORES METROPOULOS, INC. CLASS A COMMON STOCK / CUSIP: 382872109 / Symbol:							
08/27/20	10.000	108.63	08/26/20	111.29	...	-2.66	Sale ²⁵
HTG MOLECULAR DIAGNOSTICS, INC . COMMON STOCK / CUSIP: 40434H104 / Symbol:							
	7 transactions for 04/29/20. Total proceeds and cost reported to the IRS.						
	1.000	0.39	03/09/20	0.39	...	0.00	1 of 7 - Sale ²⁵
	1.000	0.39	03/10/20	0.39	...	0.00	2 of 7 - Sale ²⁵
	1.000	0.39	03/16/20	0.35	...	0.04	3 of 7 - Sale ²⁵
	3.000	1.17	03/16/20	1.04	...	0.13	4 of 7 - Sale ²⁵
	3.000	1.17	03/30/20	0.99	...	0.18	5 of 7 - Sale ²⁵
	15.000	5.86	03/30/20	4.95	...	0.91	6 of 7 - Sale ²⁵
	22.000	8.59	03/30/20	7.26	...	1.33	7 of 7 - Sale ²⁵
04/29/20	46.000	17.96	Various	15.37	...	2.59	Total of 7 transactions
	9 transactions for 04/29/20. Total proceeds and cost reported to the IRS.						
	1.000	0.39	02/19/20	0.59	0.20 W	0.00	1 of 9 - Sale ²⁵
	4.000	1.56	02/19/20	2.36	0.80 W	0.00	2 of 9 - Sale ²⁵
	2.000	0.78	02/25/20	1.16	0.38 W	0.00	3 of 9 - Sale ²⁵
	900.000	351.25	03/06/20	425.34	74.09 W	0.00	4 of 9 - Sale ²⁵

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(continued)

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HTG MOLECULAR DIAGNOSTICS, INC . COMMON STOCK / CUSIP: 40434H104 / Symbol: (cont'd)							
	15.000	5.85	03/06/20	7.05	1.20 W	0.00	5 of 9 - Sale ²⁵
	1.000	0.39	03/06/20	0.47	0.08 W	0.00	6 of 9 - Sale ²⁵
	5.000	1.95	03/09/20	1.96	0.01 W	0.00	7 of 9 - Sale ²⁵
	20.000	7.81	03/09/20	7.84	0.03 W	0.00	8 of 9 - Sale ²⁵
	6.000	2.34	03/10/20	2.35	0.01 W	0.00	9 of 9 - Sale ²⁵
04/29/20	954.000	372.32	Various	449.12	76.80 W	0.00	Total of 9 transactions
	13 transactions for 05/01/20. Total proceeds and cost reported to the IRS.						
	900.000	307.87	03/30/20	371.00	...	-63.13	1 of 13 - Sale ²⁵
	15.000	5.13	03/30/20	6.15	...	-1.02	2 of 13 - Sale ²⁵
	4.000	1.37	03/30/20	2.12	...	-0.75	3 of 13 - Sale ²⁵
	2.000	0.68	03/30/20	1.04	...	-0.36	4 of 13 - Sale ²⁵
	1.000	0.34	03/30/20	0.53	...	-0.19	5 of 13 - Sale ²⁵
	1.000	0.34	03/30/20	0.41	...	-0.07	6 of 13 - Sale ²⁵
	5.000	1.71	03/30/20	1.66	...	0.05	7 of 13 - Sale ²⁵
	6.000	2.05	03/30/20	1.99	...	0.06	8 of 13 - Sale ²⁵
	20.000	6.84	03/30/20	6.63	...	0.21	9 of 13 - Sale ²⁵
	22.000	7.53	03/30/20	7.26	...	0.27	10 of 13 - Sale ²⁵
	24.000	8.21	03/30/20	7.91	...	0.30	11 of 13 - Sale ²⁵
	800.000	273.66	04/01/20	234.16	...	39.50	12 of 13 - Sale ²⁵
	200.000	68.41	04/29/20	77.38	...	-8.97	13 of 13 - Sale ²⁵
05/01/20	2,000.000	684.14	Various	718.24	...	-34.10	Total of 13 transactions
	5 transactions for 06/15/20. Total proceeds and cost reported to the IRS.						
	800.000	505.89	06/08/20	560.00	...	-54.11	1 of 5 - Sale ²⁵
	200.000	126.47	06/08/20	137.14	...	-10.67	2 of 5 - Sale ²⁵
	500.000	316.18	06/09/20	320.00	...	-3.82	3 of 5 - Sale ²⁵
	500.000	316.18	06/10/20	315.00	...	1.18	4 of 5 - Sale ²⁵
	1,000.000	632.37	06/11/20	625.10	...	7.27	5 of 5 - Sale ²⁵
06/15/20	3,000.000	1,897.09	Various	1,957.24	...	-60.15	Total of 5 transactions
	Security total:	2,971.51		3,139.97	76.80 W	-91.66	
HEAT BIOLOGICS, INC. COMMON STOCK / CUSIP: 42237K300 / Symbol:							
	5 transactions for 04/15/20. Total proceeds and cost reported to the IRS.						
	100.000	55.99	03/06/20	81.39	...	-25.40	1 of 5 - Sale ²⁵
	2.000	1.12	03/06/20	1.58	...	-0.46	2 of 5 - Sale ²⁵

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HEAT BIOLOGICS, INC. COMMON STOCK / CUSIP: 42237K300 / Symbol: (cont'd)							
	15.000	8.40	03/30/20	8.57	...	-0.17	3 of 5 - Sale ²⁵
	10.000	5.60	04/03/20	4.99	...	0.61	4 of 5 - Sale ²⁵
	173.000	96.85	04/07/20	80.53	...	16.32	5 of 5 - Sale ²⁵
04/15/20	300.000	167.96	Various	177.06	...	-9.10	Total of 5 transactions
07/29/20	15.000	39.23	07/28/20	32.70	...	6.53	Sale ²⁵
08/17/20	200.000	316.98	08/13/20	357.00	...	-40.02	Sale ²⁵
	Security total:	524.17		566.76	...	-42.59	
HERTZ GLOBAL HOLDINGS, INC. COMMON STOCK / CUSIP: 42806J106 / Symbol:							
05/27/20	100.000	128.49	05/27/20	102.00	...	26.49	Sale ²⁵
	4 transactions for 06/10/20. Total proceeds and cost reported to the IRS.						
	100.000	254.49	06/10/20	557.55	...	-303.06	1 of 4 - Sale ²⁵
	50.000	127.24	06/10/20	223.90	...	-96.66	2 of 4 - Sale ²⁵
	50.000	127.25	06/10/20	198.89	...	-71.64	3 of 4 - Sale ²⁵
	50.000	149.99	06/10/20	175.00	...	-25.01	4 of 4 - Sale ²⁵
06/10/20	250.000	658.97	Various	1,155.34	...	-496.37	Total of 4 transactions
	5 transactions for 06/10/20. Total proceeds and cost reported to the IRS.						
	100.000	299.99	06/09/20	459.76	159.77 W	0.00	1 of 5 - Sale ²⁵
	50.000	149.99	06/09/20	205.89	55.90 W	0.00	2 of 5 - Sale ²⁵
	100.000	299.98	06/09/20	571.54	271.56 W	0.00	3 of 5 - Sale ²⁵
	50.000	149.99	06/09/20	205.88	55.89 W	0.00	4 of 5 - Sale ²⁵
	50.000	149.99	06/10/20	230.90	80.91 W	0.00	5 of 5 - Sale ²⁵
06/10/20	350.000	1,049.94	Various	1,673.97	624.03 W	0.00	Total of 5 transactions
	Security total:	1,837.40		2,931.31	624.03 W	-469.88	
HEWLETT PACKARD ENTERPRISE COMPANY / CUSIP: 42824C109 / Symbol:							
05/26/20	10.000	93.80	05/22/20	90.90	...	2.90	Sale ²⁵
HEXO CORP. / CUSIP: 428304109 / Symbol:							
	3 transactions for 05/22/20. Total proceeds and cost reported to the IRS.						
	100.000	53.71	05/19/20	51.70	...	2.01	1 of 3 - Sale ²⁵
	200.000	107.41	05/19/20	103.30	...	4.11	2 of 3 - Sale ²⁵
	500.000	268.53	05/20/20	243.70	...	24.83	3 of 3 - Sale ²⁵
05/22/20	800.000	429.65	Various	398.70	...	30.95	Total of 3 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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HEXO CORP. / CUSIP: 428304109 / Symbol: (cont'd)							
05/22/20	200.000	107.41	05/19/20	128.80	21.39 W	0.00	Sale ²⁵
	2 transactions for 05/28/20. Total proceeds and cost reported to the IRS.						
	850.000	565.99	05/27/20	551.99	...	14.00	1 of 2 - Sale ²⁵
	1,450.000	965.50	05/27/20	941.63	...	23.87	2 of 2 - Sale ²⁵
05/28/20	2,300.000	1,531.49	Various	1,493.62	...	37.87	Total of 2 transactions
05/28/20	200.000	133.17	05/27/20	151.27	18.10 W	0.00	Sale ²⁵
	2 transactions for 06/01/20. Total proceeds and cost reported to the IRS.						
	200.000	144.02	05/29/20	148.32	...	-4.30	1 of 2 - Sale ²⁵
	50.000	36.01	05/29/20	32.56	...	3.45	2 of 2 - Sale ²⁵
06/01/20	250.000	180.03	Various	180.88	...	-0.85	Total of 2 transactions
12/02/20	85.000	95.19	12/01/20	95.20	...	-0.01	Sale ²⁵
12/03/20	50.000	57.50	12/01/20	56.00	...	1.50	Sale ²⁵
	Security total:	2,534.44		2,504.47	39.49 W	69.46	
HOTH THERAPEUTICS, INC. COMMON STOCK / CUSIP: 44148G105 / Symbol:							
06/09/20	200.000	559.98	06/08/20	572.00	0.60 W	-11.42	Sale ²⁵
06/10/20	10.000	28.00	06/09/20	29.10	...	-1.10	Sale ²⁵
	Security total:	587.98		601.10	0.60 W	-12.52	
IDEANOMICS, INC. COMMON STOCK / CUSIP: 45166V106 / Symbol:							
	2 transactions for 06/01/20. Total proceeds and cost reported to the IRS.						
	250.000	101.97	05/28/20	103.63	...	-1.66	1 of 2 - Sale ²⁵
	250.000	101.97	05/28/20	102.50	...	-0.53	2 of 2 - Sale ²⁵
06/01/20	500.000	203.94	Various	206.13	...	-2.19	Total of 2 transactions
INOVIO PHARMACEUTICALS, INC. C OMMON STOCK / CUSIP: 45773H201 / Symbol:							
	2 transactions for 02/14/20. Total proceeds and cost reported to the IRS.						
	7.000	30.19	02/05/20	24.22	...	5.97	1 of 2 - Sale ²⁵
	3.000	12.94	02/07/20	9.81	...	3.13	2 of 2 - Sale ²⁵
02/14/20	10.000	43.13	Various	34.03	...	9.10	Total of 2 transactions
	4 transactions for 02/24/20. Total proceeds and cost reported to the IRS.						
	1.000	4.02	02/07/20	3.27	...	0.75	1 of 4 - Sale ²⁵
	7.000	28.15	02/20/20	25.41	...	2.74	2 of 4 - Sale ²⁵

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(continued)

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INOVIO PHARMACEUTICALS, INC. C OMMON STOCK / CUSIP: 45773H201 / Symbol: (cont'd)							
	42.000	168.89	02/20/20	152.46	...	16.43	3 of 4 - Sale ²⁵
	50.000	201.07	02/20/20	181.50	...	19.57	4 of 4 - Sale ²⁵
02/24/20	100.000	402.13	Various	362.64	...	39.49	Total of 4 transactions
03/10/20	1.000	5.69	02/20/20	3.63	...	2.06	Sale ²⁵
	Security total:	450.95		400.30	...	50.65	
INUVO, INC. / CUSIP: 46122W204 / Symbol:							
4 transactions for 05/22/20. Total proceeds and cost reported to the IRS.							
	173.000	68.31	05/18/20	73.01	...	-4.70	1 of 4 - Sale ²⁵
	20.000	7.90	05/20/20	7.95	...	-0.05	2 of 4 - Sale ²⁵
	7.000	2.76	05/20/20	2.78	...	-0.02	3 of 4 - Sale ²⁵
	273.000	107.81	05/20/20	102.12	...	5.69	4 of 4 - Sale ²⁵
05/22/20	473.000	186.78	Various	185.86	...	0.92	Total of 4 transactions
2 transactions for 05/22/20. Total proceeds and cost reported to the IRS.							
	7.000	2.79	05/18/20	2.95	0.16 W	0.00	1 of 2 - Sale ²⁵
	20.000	7.97	05/18/20	8.44	0.47 W	0.00	2 of 2 - Sale ²⁵
05/22/20	27.000	10.76	Various	11.39	0.63 W	0.00	Total of 2 transactions
	Security total:	197.54		197.25	0.63 W	0.92	
INVIVO THERAPEUTICS HOLDINGS C ORP COMMON STOCK / CUSIP: 46186M506 / Symbol:							
3 transactions for 05/18/20. Total proceeds and cost reported to the IRS.							
	10.000	15.00	05/18/20	14.60	...	0.40	1 of 3 - Sale ²⁵
	89.000	133.50	05/18/20	129.50	...	4.00	2 of 3 - Sale ²⁵
	401.000	601.52	05/18/20	585.38	...	16.14	3 of 3 - Sale ²⁵
05/18/20	500.000	750.02	Various	729.48	...	20.54	Total of 3 transactions
ISHARES GLOBAL CLEAN ENERGY ET F / CUSIP: 464288224 / Symbol:							
12/29/20	1.000	27.60	12/28/20	28.03	...	-0.43	Sale ²⁵
JAKKS PACIFIC, INC. COMMON STO CK / CUSIP: 47012E403 / Symbol:							
08/03/20	13.000	76.05	07/29/20	85.53	...	-9.48	Sale ²⁵
JUST ENERGY GROUP INC. / CUSIP: 48213W101 / Symbol:							
09/28/20	200.000	58.22	09/25/20	71.30	...	-13.08	Sale ²⁵

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(continued)

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JUST ENERGY GROUP INC / CUSIP: 48213W408 / Symbol:							
2 transactions for 10/09/20. Total proceeds and cost reported to the IRS.							
	20.000	127.60	10/08/20	120.00	...	7.60	1 of 2 - Sale ²⁵
	25.000	159.50	10/08/20	138.00	...	21.50	2 of 2 - Sale ²⁵
10/09/20	45.000	287.10	Various	258.00	...	29.10	Total of 2 transactions
2 transactions for 10/12/20. Total proceeds and cost reported to the IRS.							
	5.000	34.30	10/08/20	30.00	...	4.30	1 of 2 - Sale ²⁵
	15.000	102.90	10/09/20	109.54	...	-6.64	2 of 2 - Sale ²⁵
10/12/20	20.000	137.20	Various	139.54	...	-2.34	Total of 2 transactions
	Security total:	424.30		397.54	...	26.76	
KANDI TECHNOLOGIES GROUP, INC COMMON STOCK / CUSIP: 483709101 / Symbol:							
2 transactions for 11/23/20. Total proceeds and cost reported to the IRS.							
	4.000	57.05	11/20/20	48.28	...	8.77	1 of 2 - Sale ²⁵
	20.000	285.26	11/20/20	242.97	...	42.29	2 of 2 - Sale ²⁵
11/23/20	24.000	342.31	Various	291.25	...	51.06	Total of 2 transactions
2 transactions for 11/30/20. Total proceeds and cost reported to the IRS.							
	8.000	87.78	11/27/20	109.75	...	-21.97	1 of 2 - Sale ²⁵
	5.000	54.86	11/27/20	68.59	...	-13.73	2 of 2 - Sale ²⁵
11/30/20	13.000	142.64	Various	178.34	...	-35.70	Total of 2 transactions
12/01/20	12.000	108.72	11/27/20	164.63	...	-55.91	Sale ²⁵
	Security total:	593.67		634.22	...	-40.55	
LSB INDUSTRIES INC / CUSIP: 502160104 / Symbol:							
3 transactions for 05/22/20. Total proceeds and cost reported to the IRS.							
	100.000	126.99	05/20/20	108.50	...	18.49	1 of 3 - Sale ²⁵
	150.000	190.49	05/20/20	162.75	...	27.74	2 of 3 - Sale ²⁵
	250.000	317.49	05/20/20	272.50	...	44.99	3 of 3 - Sale ²⁵
05/22/20	500.000	634.97	Various	543.75	...	91.22	Total of 3 transactions
3 transactions for 05/26/20. Total proceeds and cost reported to the IRS.							
	30.000	34.50	05/22/20	34.20	...	0.30	1 of 3 - Sale ²⁵
	100.000	114.99	05/22/20	114.68	...	0.31	2 of 3 - Sale ²⁵
	120.000	137.98	05/22/20	137.62	...	0.36	3 of 3 - Sale ²⁵
05/26/20	250.000	287.47	Various	286.50	...	0.97	Total of 3 transactions

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LSB INDUSTRIES INC / CUSIP: 502160104 / Symbol: (cont'd)							
Security total:		922.44		830.25	...	92.19	
LANNETT COMPANY, INC. / CUSIP: 516012101 / Symbol:							
07/17/20	50.000	293.03	07/16/20	286.43	...	6.60	Sale ²⁵
LILIS ENERGY INC COMMON STOCK / CUSIP: 532403201 / Symbol:							
4 transactions for 06/15/20. Total proceeds and cost reported to the IRS.							
	500.000	120.74	06/09/20	132.80	...	-12.06	1 of 4 - Sale ²⁵
	300.000	72.44	06/09/20	79.68	...	-7.24	2 of 4 - Sale ²⁵
	200.000	48.30	06/09/20	53.12	...	-4.82	3 of 4 - Sale ²⁵
	1,000.000	241.48	06/10/20	243.50	...	-2.02	4 of 4 - Sale ²⁵
06/15/20	2,000.000	482.96	Various	509.10	...	-26.14	Total of 4 transactions
LIQUID MEDIA GROUP LTD. COMMON SHARES / CUSIP: 53634Q204 / Symbol:							
3 transactions for 06/09/20. Total proceeds and cost reported to the IRS.							
	25.000	39.49	06/08/20	37.63	...	1.86	1 of 3 - Sale ²⁵
	25.000	39.50	06/08/20	37.50	...	2.00	2 of 3 - Sale ²⁵
	250.000	394.97	06/08/20	387.50	...	7.47	3 of 3 - Sale ²⁵
06/09/20	300.000	473.96	Various	462.63	...	11.33	Total of 3 transactions
LUCKIN COFFEE INC AMERICAN DEP OSITARY SHARES - SPONSORED / CUSIP: 54951L109 / Symbol:							
05/21/20	25.000	53.75	05/20/20	62.25	...	-8.50	Sale ²⁵
MEDIGUS LTD. AMERICAN DEPOSITA RY SHARES / CUSIP: 58471G300 / Symbol:							
2 transactions for 11/23/20. Total proceeds and cost reported to the IRS.							
	50.000	156.05	11/19/20	126.98	...	29.07	1 of 2 - Sale ²⁵
	50.000	187.50	11/19/20	126.97	...	60.53	2 of 2 - Sale ²⁵
11/23/20	100.000	343.55	Various	253.95	...	89.60	Total of 2 transactions
MEDLEY CAPITAL CORPORATION / CUSIP: 58503F106 / Symbol:							
2 transactions for 05/27/20. Total proceeds and cost reported to the IRS.							
	1,000.000	569.96	05/26/20	529.18	...	40.78	1 of 2 - Sale ²⁵
	1,500.000	854.95	05/26/20	810.00	...	44.95	2 of 2 - Sale ²⁵
05/27/20	2,500.000	1,424.91	Various	1,339.18	...	85.73	Total of 2 transactions

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MEDLEY CAPITAL CORPORATION / CUSIP: 58503F106 / Symbol: (cont'd)							
2 transactions for 05/29/20. Total proceeds and cost reported to the IRS.							
	50.000	29.51	05/27/20	28.97	...	0.54	1 of 2 - Sale ²⁵
	750.000	442.60	05/27/20	420.75	...	21.85	2 of 2 - Sale ²⁵
05/29/20	800.000	472.11	Various	449.72	...	22.39	Total of 2 transactions
	Security total:	1,897.02		1,788.90	...	108.12	
MILESTONE SCIENTIFIC, INC. COM MON STOCK / CUSIP: 59935P209 / Symbol:							
2 transactions for 05/05/20. Total proceeds and cost reported to the IRS.							
	2.000	3.68	05/04/20	3.58	...	0.10	1 of 2 - Sale ²⁵
	98.000	180.32	05/04/20	175.42	...	4.90	2 of 2 - Sale ²⁵
05/05/20	100.000	184.00	Various	179.00	...	5.00	Total of 2 transactions
NANO DIMENSION LTD. AMERICAN D EPOSITARY SHARES / CUSIP: 63008G203 / Symbol:							
04/20/20	2.000	2.46	04/17/20	2.57	0.11 W	0.00	Sale ²⁵
12 transactions for 04/24/20. Total proceeds and cost reported to the IRS.							
	8.000	5.76	04/17/20	10.28	...	-4.52	1 of 12 - Sale ²⁵
	3.000	2.16	04/17/20	3.87	...	-1.71	2 of 12 - Sale ²⁵
	2.000	1.44	04/17/20	2.69	...	-1.25	3 of 12 - Sale ²⁵
	2.000	1.44	04/17/20	2.58	...	-1.14	4 of 12 - Sale ²⁵
	1.000	0.72	04/20/20	1.24	...	-0.52	5 of 12 - Sale ²⁵
	10.000	7.20	04/22/20	7.28	...	-0.08	6 of 12 - Sale ²⁵
	100.000	71.99	04/22/20	72.00	...	-0.01	7 of 12 - Sale ²⁵
	30.000	21.59	04/22/20	21.60	...	-0.01	8 of 12 - Sale ²⁵
	5.000	3.60	04/22/20	3.60	...	0.00	9 of 12 - Sale ²⁵
	1.000	0.72	04/22/20	0.72	...	0.00	10 of 12 - Sale ²⁵
	100.000	71.99	04/22/20	71.79	...	0.20	11 of 12 - Sale ²⁵
	5.000	3.60	04/24/20	3.58	...	0.02	12 of 12 - Sale ²⁵
04/24/20	267.000	192.21	Various	201.23	...	-9.02	Total of 12 transactions
3 transactions for 06/10/20. Total proceeds and cost reported to the IRS.							
	70.000	178.84	06/09/20	179.90	...	-1.06	1 of 3 - Sale ²⁵
	25.000	63.87	06/09/20	64.25	...	-0.38	2 of 3 - Sale ²⁵
	5.000	12.78	06/09/20	12.85	...	-0.07	3 of 3 - Sale ²⁵
06/10/20	100.000	255.49	Various	257.00	...	-1.51	Total of 3 transactions

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NANO DIMENSION LTD. AMERICAN D EPOSITARY SHARES / CUSIP: 63008G203 / Symbol: (cont'd)							
Security total:		450.16		460.80	0.11 W	-10.53	
NEOPHOTONICS CORP / CUSIP: 64051T100 / Symbol:							
03/17/20	5.000	27.54	03/17/20	25.38	...	2.16	Sale ²⁵
03/20/20	50.000	262.44	03/18/20	242.65	...	19.79	Sale ²⁵
04/22/20	20.000	169.80	04/17/20	173.57	3.77 W	0.00	Sale ²⁵
2 transactions for 04/24/20. Total proceeds and cost reported to the IRS.							
	5.000	41.95	04/17/20	43.39	1.44 W	0.00	1 of 2 - Sale ²⁵
	15.000	125.85	04/17/20	128.68	2.83 W	0.00	2 of 2 - Sale ²⁵
04/24/20	20.000	167.80	Various	172.07	4.27 W	0.00	Total of 2 transactions
4 transactions for 05/01/20. Total proceeds and cost reported to the IRS.							
	15.000	130.80	05/01/20	139.01	8.21 W	0.00	1 of 4 - Sale ²⁵
	5.000	43.60	05/01/20	46.83	3.23 W	0.00	2 of 4 - Sale ²⁵
	5.000	43.60	05/01/20	46.33	2.73 W	0.00	3 of 4 - Sale ²⁵
	10.000	87.20	05/01/20	90.78	3.58 W	0.00	4 of 4 - Sale ²⁵
05/01/20	35.000	305.20	Various	322.95	17.75 W	0.00	Total of 4 transactions
12 transactions for 05/04/20. Total proceeds and cost reported to the IRS.							
	9.000	78.94	05/01/20	83.78	...	-4.84	1 of 12 - Sale ²⁵
	5.000	43.86	05/01/20	48.27	...	-4.41	2 of 12 - Sale ²⁵
	3.000	26.31	05/01/20	28.22	...	-1.91	3 of 12 - Sale ²⁵
	5.000	43.86	05/01/20	45.73	...	-1.87	4 of 12 - Sale ²⁵
	10.000	87.71	05/01/20	89.58	...	-1.87	5 of 12 - Sale ²⁵
	1.000	8.77	05/01/20	9.68	...	-0.91	6 of 12 - Sale ²⁵
	1.000	8.77	05/01/20	9.43	...	-0.66	7 of 12 - Sale ²⁵
	1.000	8.77	05/01/20	9.24	...	-0.47	8 of 12 - Sale ²⁵
	3.000	26.31	05/01/20	25.55	...	0.76	9 of 12 - Sale ²⁵
	5.000	43.86	05/01/20	42.99	...	0.87	10 of 12 - Sale ²⁵
	19.000	166.66	05/01/20	163.40	...	3.26	11 of 12 - Sale ²⁵
	38.000	333.32	05/01/20	323.76	...	9.56	12 of 12 - Sale ²⁵
05/04/20	100.000	877.14	Various	879.63	...	-2.49	Total of 12 transactions
5 transactions for 09/08/20. Total proceeds and cost reported to the IRS.							
	15.000	94.73	09/01/20	110.10	15.37 W	0.00	1 of 5 - Sale ²⁵
	10.000	64.10	09/01/20	73.40	9.30 W	0.00	2 of 5 - Sale ²⁵

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Account 119938009

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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NEOPHOTONICS CORP / CUSIP: 64051T100 / Symbol: (cont'd)							
	10.000	63.60	09/01/20	73.40	9.80 W	0.00	3 of 5 - Sale ²⁵
	35.000	221.29	09/01/20	256.90	35.61 W	0.00	4 of 5 - Sale ²⁵
	2.000	12.64	09/01/20	14.68	2.04 W	0.00	5 of 5 - Sale ²⁵
09/08/20	72.000	456.36	Various	528.48	72.12 W	0.00	Total of 5 transactions
09/09/20	3.000	18.78	09/01/20	22.02	3.24 W	0.00	Sale ²⁵
	2 transactions for 09/10/20. Total proceeds and cost reported to the IRS.						
	15.000	92.70	09/01/20	130.35	...	-37.65	1 of 2 - Sale ²⁵
	5.000	30.90	09/03/20	45.23	...	-14.33	2 of 2 - Sale ²⁵
09/10/20	20.000	123.60	Various	175.58	...	-51.98	Total of 2 transactions
	14 transactions for 09/10/20. Total proceeds and cost reported to the IRS.						
	10.000	63.15	09/01/20	73.40	10.25 W	0.00	1 of 14 - Sale ²⁵
	15.000	93.90	09/01/20	110.10	16.20 W	0.00	2 of 14 - Sale ²⁵
	10.000	62.60	09/01/20	78.97	16.37 W	0.00	3 of 14 - Sale ²⁵
	10.000	62.60	09/01/20	79.48	16.88 W	0.00	4 of 14 - Sale ²⁵
	15.000	93.91	09/01/20	119.88	25.97 W	0.00	5 of 14 - Sale ²⁵
	15.000	92.89	09/01/20	119.77	26.88 W	0.00	6 of 14 - Sale ²⁵
	10.000	61.92	09/01/20	85.35	23.43 W	0.00	7 of 14 - Sale ²⁵
	10.000	61.92	09/01/20	85.86	23.94 W	0.00	8 of 14 - Sale ²⁵
	15.000	92.89	09/01/20	129.44	36.55 W	0.00	9 of 14 - Sale ²⁵
	10.000	61.92	09/01/20	79.23	17.31 W	0.00	10 of 14 - Sale ²⁵
	15.000	92.89	09/01/20	119.67	26.78 W	0.00	11 of 14 - Sale ²⁵
	3.000	18.58	09/01/20	23.93	5.35 W	0.00	12 of 14 - Sale ²⁵
	2.000	12.38	09/01/20	15.84	3.46 W	0.00	13 of 14 - Sale ²⁵
	20.000	123.85	09/01/20	158.31	34.46 W	0.00	14 of 14 - Sale ²⁵
09/10/20	160.000	995.40	Various	1,279.23	283.83 W	0.00	Total of 14 transactions
	9 transactions for 09/14/20. Total proceeds and cost reported to the IRS.						
	20.000	124.20	09/03/20	166.86	...	-42.66	1 of 9 - Sale ²⁵
	10.000	62.10	09/03/20	90.47	...	-28.37	2 of 9 - Sale ²⁵
	10.000	62.10	09/03/20	90.04	...	-27.94	3 of 9 - Sale ²⁵
	10.000	62.10	09/03/20	89.53	...	-27.43	4 of 9 - Sale ²⁵
	10.000	62.10	09/03/20	84.05	...	-21.95	5 of 9 - Sale ²⁵
	10.000	62.12	09/03/20	83.41	...	-21.29	6 of 9 - Sale ²⁵
	5.000	31.05	09/03/20	41.98	...	-10.93	7 of 9 - Sale ²⁵

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2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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NEOPHOTONICS CORP / CUSIP: 64051T100 / Symbol: (cont'd)							
	3.000	18.63	09/03/20	25.21	...	-6.58	8 of 9 - Sale ²⁵
	2.000	12.42	09/03/20	16.70	...	-4.28	9 of 9 - Sale ²⁵
09/14/20	80.000	496.82	Various	688.25	...	-191.43	Total of 9 transactions
	Security total:	3,900.88		4,509.81	384.98 W	-223.95	
NET ELEMENT, INC. COMMON STOCK / CUSIP: 64111R300 / Symbol:							
2 transactions for 09/24/20. Total proceeds and cost reported to the IRS.							
	20.000	174.62	09/24/20	218.68	...	-44.06	1 of 2 - Sale ²⁵
	15.000	130.96	09/24/20	162.00	...	-31.04	2 of 2 - Sale ²⁵
09/24/20	35.000	305.58	Various	380.68	...	-75.10	Total of 2 transactions
NEW RESIDENTIAL INVESTMENT COR P / CUSIP: 64828T201 / Symbol:							
13 transactions for 05/04/20. Total proceeds and cost reported to the IRS.							
	0.004	0.02	04/13/20	0.02	...	0.00	1 of 13 - Sale ²⁵
	0.759	4.22	04/13/20	4.05	...	0.17	2 of 13 - Sale ²⁵
	1.000	5.56	04/13/20	5.33	...	0.23	3 of 13 - Sale ²⁵
	25.767	143.29	04/13/20	136.51	...	6.78	4 of 13 - Sale ²⁵
	0.019	0.10	04/15/20	0.09	...	0.01	5 of 13 - Sale ²⁵
	0.308	1.72	04/15/20	1.48	...	0.24	6 of 13 - Sale ²⁵
	4.000	22.25	04/15/20	19.24	...	3.01	7 of 13 - Sale ²⁵
	53.000	294.75	04/16/20	249.37	...	45.38	8 of 13 - Sale ²⁵
	0.002	0.01	04/24/20	0.01	...	0.00	9 of 13 - Sale ²⁵
	0.304	1.69	04/24/20	1.52	...	0.17	10 of 13 - Sale ²⁵
	4.000	22.24	04/24/20	20.56	...	1.68	11 of 13 - Sale ²⁵
	30.000	166.84	04/24/20	154.14	...	12.70	12 of 13 - Sale ²⁵
	25.000	139.03	04/24/20	125.25	...	13.78	13 of 13 - Sale ²⁵
05/04/20	144.162	801.72	Various	717.57	...	84.15	Total of 13 transactions
6 transactions for 05/04/20. Total proceeds and cost reported to the IRS.							
	0.047	0.26	04/09/20	0.30	0.04 W	0.00	1 of 6 - Sale ²⁵
	0.233	1.30	04/09/20	1.51	0.21 W	0.00	2 of 6 - Sale ²⁵
	0.047	0.26	04/09/20	0.34	0.08 W	0.00	3 of 6 - Sale ²⁵
	14.558	80.96	04/09/20	93.89	12.93 W	0.00	4 of 6 - Sale ²⁵
	0.233	1.30	04/13/20	1.45	0.15 W	0.00	5 of 6 - Sale ²⁵

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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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NEW RESIDENTIAL INVESTMENT COR P / CUSIP: 64828T201 / Symbol: (cont'd)							
05/04/20	0.006	0.03	04/24/20	0.04	0.01 W	0.00	6 of 6 - Sale ²⁵
	15.124	84.11	Various	97.53	13.42 W	0.00	Total of 6 transactions
	4 transactions for 05/05/20. Total proceeds and cost reported to the IRS.						
	0.006	0.04	05/04/20	0.04	...	0.00	1 of 4 - Sale ²⁵
	0.233	1.58	05/04/20	1.50	...	0.08	2 of 4 - Sale ²⁵
	0.162	1.10	05/04/20	0.94	...	0.16	3 of 4 - Sale ²⁵
	14.558	98.56	05/04/20	96.93	...	1.63	4 of 4 - Sale ²⁵
05/05/20	14.960	101.28	Various	99.41	...	1.87	Total of 4 transactions
05/05/20	0.041	0.27	05/04/20	0.30	0.03 W	0.00	Sale ²⁵
	2 transactions for 05/07/20. Total proceeds and cost reported to the IRS.						
	0.041	0.26	05/06/20	0.28	...	-0.02	1 of 2 - Sale ²⁵
	4.960	31.24	05/06/20	30.45	...	0.79	2 of 2 - Sale ²⁵
05/07/20	5.000	31.50	Various	30.73	...	0.77	Total of 2 transactions
07/06/20	5.000	35.66	07/02/20	34.54	...	1.12	Sale ²⁵
	3 transactions for 07/16/20. Total proceeds and cost reported to the IRS.						
	60.000	431.98	07/13/20	408.43	...	23.55	1 of 3 - Sale ²⁵
	140.000	1,009.35	07/13/20	953.01	...	56.34	2 of 3 - Sale ²⁵
	25.000	179.99	07/14/20	168.18	...	11.81	3 of 3 - Sale ²⁵
07/16/20	225.000	1,621.32	Various	1,529.62	...	91.70	Total of 3 transactions
	Security total:	2,675.86		2,509.70	13.45 W	179.61	
NEW YORK MORTGAGE TRUST, INC. COMMON STOCK / CUSIP: 649604501 / Symbol:							
	4 transactions for 05/04/20. Total proceeds and cost reported to the IRS.						
	20.000	38.80	03/30/20	32.80	...	6.00	1 of 4 - Sale ²⁵
	80.000	155.19	03/30/20	131.19	...	24.00	2 of 4 - Sale ²⁵
	100.000	193.98	04/02/20	113.70	...	80.28	3 of 4 - Sale ²⁵
	87.000	168.76	04/03/20	93.95	...	74.81	4 of 4 - Sale ²⁵
05/04/20	287.000	556.73	Various	371.64	...	185.09	Total of 4 transactions
	8 transactions for 05/05/20. Total proceeds and cost reported to the IRS.						
	13.000	27.73	04/03/20	14.04	...	13.69	1 of 8 - Sale ²⁵
	3.000	6.40	04/16/20	5.94	...	0.46	2 of 8 - Sale ²⁵
	3.000	6.40	04/16/20	5.93	...	0.47	3 of 8 - Sale ²⁵
	15.000	31.99	04/16/20	29.66	...	2.33	4 of 8 - Sale ²⁵

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(continued)

02/14/2021

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NEW YORK MORTGAGE TRUST, INC. COMMON STOCK / CUSIP: 649604501 / Symbol: (cont'd)							
	29.000	61.85	04/16/20	56.83	...	5.02	5 of 8 - Sale ²⁵
	4.000	8.53	04/24/20	7.76	...	0.77	6 of 8 - Sale ²⁵
	30.000	63.99	04/24/20	57.90	...	6.09	7 of 8 - Sale ²⁵
	3.000	6.40	05/01/20	6.11	...	0.29	8 of 8 - Sale ²⁵
05/05/20	100.000	213.29	Various	184.17	...	29.12	Total of 8 transactions
	2 transactions for 05/12/20. Total proceeds and cost reported to the IRS.						
	100.000	191.25	05/08/20	198.75	7.50 W	0.00	1 of 2 - Sale ²⁵
	150.000	286.87	05/08/20	297.00	10.13 W	0.00	2 of 2 - Sale ²⁵
05/12/20	250.000	478.12	Various	495.75	17.63 W	0.00	Total of 2 transactions
	2 transactions for 05/14/20. Total proceeds and cost reported to the IRS.						
	100.000	170.25	05/08/20	205.50	35.25 W	0.00	1 of 2 - Sale ²⁵
	150.000	255.37	05/08/20	297.00	41.63 W	0.00	2 of 2 - Sale ²⁵
05/14/20	250.000	425.62	Various	502.50	76.88 W	0.00	Total of 2 transactions
05/15/20	25.000	41.82	05/08/20	49.50	7.68 W	0.00	Sale ²⁵
	3 transactions for 05/21/20. Total proceeds and cost reported to the IRS.						
	100.000	191.98	05/11/20	228.00	...	-36.02	1 of 3 - Sale ²⁵
	150.000	287.97	05/11/20	299.26	...	-11.29	2 of 3 - Sale ²⁵
	25.000	48.00	05/15/20	48.69	...	-0.69	3 of 3 - Sale ²⁵
05/21/20	275.000	527.95	Various	575.95	...	-48.00	Total of 3 transactions
05/21/20	475.000	911.92	05/08/20	940.50	6.02 W	-22.56	Sale ²⁵
	3 transactions for 05/22/20. Total proceeds and cost reported to the IRS.						
	125.000	246.73	05/21/20	269.69	...	-22.96	1 of 3 - Sale ²⁵
	25.000	49.35	05/21/20	54.68	...	-5.33	2 of 3 - Sale ²⁵
	100.000	197.39	05/21/20	194.02	...	3.37	3 of 3 - Sale ²⁵
05/22/20	250.000	493.47	Various	518.39	...	-24.92	Total of 3 transactions
	Security total:	3,648.92		3,638.40	108.21 W	118.73	
NINE ENERGY SERVICE, INC. / CUSIP: 65441V101 / Symbol:							
	4 transactions for 04/16/20. Total proceeds and cost reported to the IRS.						
	47.000	39.29	04/13/20	44.18	...	-4.89	1 of 4 - Sale ²⁵
	1.000	0.84	04/13/20	0.96	...	-0.12	2 of 4 - Sale ²⁵
	1.000	0.84	04/13/20	0.94	...	-0.10	3 of 4 - Sale ²⁵

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NINE ENERGY SERVICE, INC. / CUSIP: 65441V101 / Symbol: (cont'd)							
	1.000	0.84	04/13/20	0.88	...	-0.04	4 of 4 - Sale ²⁵
04/16/20	50.000	41.81	Various	46.96	...	-5.15	Total of 4 transactions
05/20/20	100.000	171.00	05/19/20	163.00	...	8.00	Sale ²⁵
05/26/20	200.000	337.98	05/22/20	330.00	...	7.98	Sale ²⁵
	Security total:	550.79		539.96	...	10.83	
NOVABAY PHARMACEUTICALS, INC. / CUSIP: 66987P201 / Symbol:							
05/26/20	200.000	177.36	05/20/20	170.80	...	6.56	Sale ²⁵
NUTANIX, INC. CLASS A COMMON S TOCK / CUSIP: 67059N108 / Symbol:							
03/17/20	2.000	26.65	03/16/20	26.12	...	0.53	Sale ²⁵
05/21/20	25.000	589.90	05/20/20	569.25	...	20.65	Sale ²⁵
09/09/20	1.000	24.80	09/08/20	25.07	...	-0.27	Sale ²⁵
	Security total:	641.35		620.44	...	20.91	
NXT-ID, INC. COMMON STOCK / CUSIP: 67091J206 / Symbol:							
2 transactions for 12/16/20. Total proceeds and cost reported to the IRS.							
	3.000	2.43	12/16/20	1.92	...	0.51	1 of 2 - Sale ²⁵
	40.000	32.49	12/16/20	25.56	...	6.93	2 of 2 - Sale ²⁵
12/16/20	43.000	34.92	Various	27.48	...	7.44	Total of 2 transactions
OCUGEN, INC. COMMON STOCK / CUSIP: 67577C105 / Symbol:							
05/11/20	200.000	62.19	05/08/20	62.82	0.63 W	0.00	Sale ²⁵
2 transactions for 06/02/20. Total proceeds and cost reported to the IRS.							
	800.000	177.74	06/01/20	181.30	...	-3.56	1 of 2 - Sale ²⁵
	200.000	44.44	06/01/20	45.95	...	-1.51	2 of 2 - Sale ²⁵
06/02/20	1,000.000	222.18	Various	227.25	...	-5.07	Total of 2 transactions
2 transactions for 06/02/20. Total proceeds and cost reported to the IRS.							
	200.000	44.48	06/01/20	46.63	2.15 W	0.00	1 of 2 - Sale ²⁵
	800.000	177.90	06/01/20	184.00	6.10 W	0.00	2 of 2 - Sale ²⁵
06/02/20	1,000.000	222.38	Various	230.63	8.25 W	0.00	Total of 2 transactions
	Security total:	506.75		520.70	8.88 W	-5.07	

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ORAGENICS INC. / CUSIP: 684023302 / Symbol:							
2 transactions for 07/14/20. Total proceeds and cost reported to the IRS.							
	100.000	96.00	07/10/20	104.00	...	-8.00	1 of 2 - Sale ²⁵
	200.000	191.99	07/13/20	182.00	...	9.99	2 of 2 - Sale ²⁵
07/14/20	300.000	287.99	Various	286.00	...	1.99	Total of 2 transactions
ORBITAL ENERGY GROUP, INC. COM MON STOCK / CUSIP: 68559A109 / Symbol:							
12/30/20	30.000	78.15	12/29/20	72.75	...	5.40	Sale ²⁵
ORGANOVO HOLDINGS, INC. COMMON STOCK / CUSIP: 68620A203 / Symbol:							
4 transactions for 10/19/20. Total proceeds and cost reported to the IRS.							
	10.000	91.40	10/16/20	98.40	...	-7.00	1 of 4 - Sale ²⁵
	3.000	27.21	10/16/20	31.64	...	-4.43	2 of 4 - Sale ²⁵
	2.000	18.14	10/16/20	19.68	...	-1.54	3 of 4 - Sale ²⁵
	1.000	9.11	10/16/20	10.55	...	-1.44	4 of 4 - Sale ²⁵
10/19/20	16.000	145.86	Various	160.27	...	-14.41	Total of 4 transactions
10/19/20	8.000	73.08	10/16/20	78.72	5.64 W	0.00	Sale ²⁵
10/20/20	4.000	33.74	10/16/20	42.18	...	-8.44	Sale ²⁵
	Security total:	252.68		281.17	5.64 W	-22.85	
PARETEUM CORPORATION COMMON ST OCK / CUSIP: 69946T207 / Symbol:							
02/07/20	38.000	27.01	10/31/19	14.41	...	12.60	Sale ²⁵
9 transactions for 02/07/20. Total proceeds and cost reported to the IRS.							
	100.000	71.10	05/07/19	500.00	428.90 W	0.00	1 of 9 - Sale ²⁵
	20.000	14.22	05/07/19	99.99	85.77 W	0.00	2 of 9 - Sale ²⁵
	4.000	2.84	05/07/19	20.00	17.16 W	0.00	3 of 9 - Sale ²⁵
	3.000	2.13	09/16/19	6.63	4.50 W	0.00	4 of 9 - Sale ²⁵
	30.000	21.33	09/18/19	57.28	35.95 W	0.00	5 of 9 - Sale ²⁵
	4.000	2.84	09/18/19	7.62	4.78 W	0.00	6 of 9 - Sale ²⁵
	60.000	42.66	09/20/19	91.79	49.13 W	0.00	7 of 9 - Sale ²⁵
	235.000	167.09	09/20/19	379.53	212.44 W	0.00	8 of 9 - Sale ²⁵
	6.000	4.27	09/20/19	9.63	5.36 W	0.00	9 of 9 - Sale ²⁵
02/07/20	462.000	328.48	Various	1,172.47	843.99 W	0.00	Total of 9 transactions
04/13/20	400.000	183.99	10/31/19	151.68	...	32.31	Sale ²⁵

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Robinhood Securities LLC

Account 119938009

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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PARETEUM CORPORATION COMMON STOCK / CUSIP: 69946T207 / Symbol: (cont'd)							
53 transactions for 05/04/20. Total proceeds and cost reported to the IRS.							
5.000		3.16	10/31/19	1.87	...	1.29	1 of 53 - Sale ²⁵
7.000		4.43	10/31/19	2.62	...	1.81	2 of 53 - Sale ²⁵
27.000		17.09	10/31/19	10.24	...	6.85	3 of 53 - Sale ²⁵
33.000		20.88	10/31/19	12.31	...	8.57	4 of 53 - Sale ²⁵
34.000		21.52	10/31/19	12.91	...	8.61	5 of 53 - Sale ²⁵
34.000		21.52	10/31/19	12.70	...	8.82	6 of 53 - Sale ²⁵
41.000		25.95	10/31/19	15.57	...	10.38	7 of 53 - Sale ²⁵
41.000		25.95	10/31/19	15.57	...	10.38	8 of 53 - Sale ²⁵
41.000		25.95	10/31/19	15.57	...	10.38	9 of 53 - Sale ²⁵
41.000		25.95	10/31/19	15.55	...	10.40	10 of 53 - Sale ²⁵
41.000		25.95	10/31/19	15.55	...	10.40	11 of 53 - Sale ²⁵
41.000		25.95	10/31/19	15.55	...	10.40	12 of 53 - Sale ²⁵
41.000		25.95	10/31/19	15.55	...	10.40	13 of 53 - Sale ²⁵
43.000		27.21	10/31/19	16.33	...	10.88	14 of 53 - Sale ²⁵
57.000		36.07	10/31/19	21.61	...	14.46	15 of 53 - Sale ²⁵
66.000		41.76	10/31/19	24.65	...	17.11	16 of 53 - Sale ²⁵
100.000		63.28	10/31/19	37.97	...	25.31	17 of 53 - Sale ²⁵
100.000		63.28	10/31/19	37.97	...	25.31	18 of 53 - Sale ²⁵
100.000		63.28	10/31/19	37.97	...	25.31	19 of 53 - Sale ²⁵
100.000		63.28	10/31/19	37.97	...	25.31	20 of 53 - Sale ²⁵
100.000		63.28	10/31/19	37.97	...	25.31	21 of 53 - Sale ²⁵
100.000		63.28	10/31/19	37.97	...	25.31	22 of 53 - Sale ²⁵
100.000		63.28	10/31/19	37.97	...	25.31	23 of 53 - Sale ²⁵
100.000		63.28	10/31/19	37.96	...	25.32	24 of 53 - Sale ²⁵
100.000		63.28	10/31/19	37.92	...	25.36	25 of 53 - Sale ²⁵
100.000		63.28	10/31/19	37.92	...	25.36	26 of 53 - Sale ²⁵
100.000		63.28	10/31/19	37.92	...	25.36	27 of 53 - Sale ²⁵
100.000		63.28	10/31/19	37.92	...	25.36	28 of 53 - Sale ²⁵
100.000		63.28	10/31/19	37.92	...	25.36	29 of 53 - Sale ²⁵
100.000		63.28	10/31/19	37.92	...	25.36	30 of 53 - Sale ²⁵
100.000		63.28	10/31/19	37.91	...	25.37	31 of 53 - Sale ²⁵
200.000		126.56	10/31/19	75.84	...	50.72	32 of 53 - Sale ²⁵
414.000		261.97	10/31/19	156.99	...	104.98	33 of 53 - Sale ²⁵

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Robinhood Securities LLC

Account 119938009

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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PARETEUM CORPORATION COMMON STOCK / CUSIP: 69946T207 / Symbol: (cont'd)							
	5.000	3.16	12/27/19	2.02	...	1.14	34 of 53 - Sale ²⁵
	1.000	0.63	02/03/20	0.58	...	0.05	35 of 53 - Sale ²⁵
	1.000	0.63	02/03/20	0.58	...	0.05	36 of 53 - Sale ²⁵
	1.000	0.63	02/03/20	0.58	...	0.05	37 of 53 - Sale ²⁵
	1.000	0.63	02/03/20	0.58	...	0.05	38 of 53 - Sale ²⁵
	1.000	0.63	02/03/20	0.58	...	0.05	39 of 53 - Sale ²⁵
	1.000	0.63	02/03/20	0.58	...	0.05	40 of 53 - Sale ²⁵
	26.000	16.45	02/03/20	14.95	...	1.50	41 of 53 - Sale ²⁵
	31.000	19.62	02/03/20	17.83	...	1.79	42 of 53 - Sale ²⁵
	50.000	31.64	02/03/20	28.75	...	2.89	43 of 53 - Sale ²⁵
	50.000	31.64	02/03/20	28.74	...	2.90	44 of 53 - Sale ²⁵
	100.000	63.28	02/03/20	57.50	...	5.78	45 of 53 - Sale ²⁵
	100.000	63.28	02/03/20	57.50	...	5.78	46 of 53 - Sale ²⁵
	100.000	63.28	02/03/20	57.50	...	5.78	47 of 53 - Sale ²⁵
	100.000	63.28	02/03/20	57.50	...	5.78	48 of 53 - Sale ²⁵
	363.000	229.70	02/03/20	208.73	...	20.97	49 of 53 - Sale ²⁵
	20.000	12.66	02/24/20	12.14	...	0.52	50 of 53 - Sale ²⁵
	100.000	63.28	02/24/20	60.70	...	2.58	51 of 53 - Sale ²⁵
	500.000	316.39	02/24/20	303.30	...	13.09	52 of 53 - Sale ²⁵
	280.000	177.17	02/25/20	160.95	...	16.22	53 of 53 - Sale ²⁵
05/04/20	4,538.000	2,871.63	Various	2,097.75	...	773.88	Total of 53 transactions
	9 transactions for 05/04/20. Total proceeds and cost reported to the IRS.						
	3.000	1.90	02/03/20	6.34	4.44 W	0.00	1 of 9 - Sale ²⁵
	4.000	2.53	02/03/20	7.23	4.70 W	0.00	2 of 9 - Sale ²⁵
	30.000	18.98	02/03/20	54.33	35.35 W	0.00	3 of 9 - Sale ²⁵
	55.000	34.81	02/03/20	78.74	43.93 W	0.00	4 of 9 - Sale ²⁵
	5.000	3.16	02/03/20	7.16	4.00 W	0.00	5 of 9 - Sale ²⁵
	95.000	60.12	02/03/20	144.10	83.98 W	0.00	6 of 9 - Sale ²⁵
	72.000	45.56	02/03/20	109.21	63.65 W	0.00	7 of 9 - Sale ²⁵
	6.000	3.80	02/03/20	8.81	5.01 W	0.00	8 of 9 - Sale ²⁵
	68.000	43.03	02/03/20	100.57	57.54 W	0.00	9 of 9 - Sale ²⁵
05/04/20	338.000	213.89	Various	516.49	302.60 W	0.00	Total of 9 transactions

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PARETEUM CORPORATION COMMON STOCK / CUSIP: 69946T207 / Symbol: (cont'd)							
<i>10 transactions for 05/07/20. Total proceeds and cost reported to the IRS.</i>							
	1.000	0.60	02/25/20	0.57	...	0.03	1 of 10 - Sale ²⁵
	5.000	2.99	02/25/20	2.87	...	0.12	2 of 10 - Sale ²⁵
	100.000	59.79	02/25/20	57.48	...	2.31	3 of 10 - Sale ²⁵
	220.000	131.53	02/25/20	126.46	...	5.07	4 of 10 - Sale ²⁵
	1.000	0.60	02/27/20	0.52	...	0.08	5 of 10 - Sale ²⁵
	15.000	8.97	02/27/20	7.75	...	1.22	6 of 10 - Sale ²⁵
	50.000	29.89	02/27/20	26.50	...	3.39	7 of 10 - Sale ²⁵
	1,000.000	597.86	02/27/20	525.00	...	72.86	8 of 10 - Sale ²⁵
	8.000	4.78	03/06/20	4.58	...	0.20	9 of 10 - Sale ²⁵
	100.000	59.79	03/06/20	57.22	...	2.57	10 of 10 - Sale ²⁵
05/07/20	1,500.000	896.80	Various	808.95	...	87.85	Total of 10 transactions
<i>34 transactions for 05/08/20. Total proceeds and cost reported to the IRS.</i>							
	2.000	1.23	03/11/20	0.91	...	0.32	1 of 34 - Sale ²⁵
	10.000	6.14	03/11/20	4.70	...	1.44	2 of 34 - Sale ²⁵
	1.000	0.61	03/12/20	0.36	...	0.25	3 of 34 - Sale ²⁵
	3.000	1.84	03/12/20	1.07	...	0.77	4 of 34 - Sale ²⁵
	5.000	3.07	03/12/20	1.79	...	1.28	5 of 34 - Sale ²⁵
	40.000	24.55	03/12/20	14.20	...	10.35	6 of 34 - Sale ²⁵
	100.000	61.39	03/12/20	35.83	...	25.56	7 of 34 - Sale ²⁵
	400.000	245.55	03/12/20	143.44	...	102.11	8 of 34 - Sale ²⁵
	500.000	306.93	03/12/20	179.45	...	127.48	9 of 34 - Sale ²⁵
	1,000.000	613.87	03/16/20	355.10	...	258.77	10 of 34 - Sale ²⁵
	3.000	1.84	03/17/20	1.19	...	0.65	11 of 34 - Sale ²⁵
	10.000	6.14	03/18/20	3.64	...	2.50	12 of 34 - Sale ²⁵
	90.000	55.25	03/18/20	32.71	...	22.54	13 of 34 - Sale ²⁵
	700.000	429.71	03/20/20	255.85	...	173.86	14 of 34 - Sale ²⁵
	1.000	0.61	03/30/20	0.38	...	0.23	15 of 34 - Sale ²⁵
	7.000	4.30	03/30/20	2.68	...	1.62	16 of 34 - Sale ²⁵
	48.000	29.47	03/30/20	18.10	...	11.37	17 of 34 - Sale ²⁵
	100.000	61.39	03/30/20	37.80	...	23.59	18 of 34 - Sale ²⁵
	451.000	276.85	03/30/20	170.48	...	106.37	19 of 34 - Sale ²⁵
	29.000	17.80	04/01/20	11.14	...	6.66	20 of 34 - Sale ²⁵
	31.000	19.03	05/06/20	17.64	...	1.39	21 of 34 - Sale ²⁵

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PARETEUM CORPORATION COMMON STOCK / CUSIP: 69946T207 / Symbol: (cont'd)							
	69.000	42.36	05/06/20	39.33	...	3.03	22 of 34 - Sale ²⁵
	100.000	61.39	05/06/20	56.67	...	4.72	23 of 34 - Sale ²⁵
	100.000	61.39	05/06/20	56.67	...	4.72	24 of 34 - Sale ²⁵
	100.000	61.39	05/06/20	56.67	...	4.72	25 of 34 - Sale ²⁵
	100.000	61.39	05/06/20	56.67	...	4.72	26 of 34 - Sale ²⁵
	100.000	61.39	05/06/20	56.59	...	4.80	27 of 34 - Sale ²⁵
	100.000	61.38	05/06/20	55.87	...	5.51	28 of 34 - Sale ²⁵
	100.000	61.38	05/06/20	55.87	...	5.51	29 of 34 - Sale ²⁵
	100.000	61.39	05/06/20	55.87	...	5.52	30 of 34 - Sale ²⁵
	100.000	61.39	05/06/20	55.87	...	5.52	31 of 34 - Sale ²⁵
	100.000	61.38	05/06/20	55.82	...	5.56	32 of 34 - Sale ²⁵
	200.000	122.77	05/06/20	114.00	...	8.77	33 of 34 - Sale ²⁵
	200.000	122.77	05/06/20	113.34	...	9.43	34 of 34 - Sale ²⁵
05/08/20	5,000.000	3,069.34	Various	2,117.70	...	951.64	Total of 34 transactions
	10 transactions for 05/08/20. Total proceeds and cost reported to the IRS.						
	3.000	1.84	05/04/20	6.28	4.44 W	0.00	1 of 10 - Sale ²⁵
	4.000	2.46	05/04/20	7.16	4.70 W	0.00	2 of 10 - Sale ²⁵
	30.000	18.42	05/04/20	53.79	35.37 W	0.00	3 of 10 - Sale ²⁵
	5.000	3.07	05/04/20	7.07	4.00 W	0.00	4 of 10 - Sale ²⁵
	6.000	3.68	05/04/20	8.70	5.02 W	0.00	5 of 10 - Sale ²⁵
	55.000	33.76	05/04/20	77.74	43.98 W	0.00	6 of 10 - Sale ²⁵
	68.000	41.74	05/04/20	99.35	57.61 W	0.00	7 of 10 - Sale ²⁵
	72.000	44.20	05/04/20	107.92	63.72 W	0.00	8 of 10 - Sale ²⁵
	95.000	58.32	05/04/20	142.39	84.07 W	0.00	9 of 10 - Sale ²⁵
	4,538.000	2,785.72	05/04/20	2,789.96	4.24 W	0.00	10 of 10 - Sale ²⁵
05/08/20	4,876.000	2,993.21	Various	3,300.36	307.15 W	0.00	Total of 10 transactions
	57 transactions for 05/15/20. Total proceeds and cost reported to the IRS.						
	95.000	42.50	05/08/20	166.17	...	-123.67	1 of 57 - Sale ²⁵
	72.000	32.21	05/08/20	125.94	...	-93.73	2 of 57 - Sale ²⁵
	492.000	220.11	05/08/20	293.58	...	-73.47	3 of 57 - Sale ²⁵
	42.000	18.79	05/08/20	71.89	...	-53.10	4 of 57 - Sale ²⁵
	118.000	52.79	05/08/20	102.44	...	-49.65	5 of 57 - Sale ²⁵
	39.000	17.45	05/08/20	64.79	...	-47.34	6 of 57 - Sale ²⁵
	312.000	139.58	05/08/20	186.48	...	-46.90	7 of 57 - Sale ²⁵

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PARETEUM CORPORATION COMMON STOCK / CUSIP: 69946T207 / Symbol: (cont'd)							
	100.000	44.74	05/08/20	86.81	...	-42.07	8 of 57 - Sale ²⁵
	100.000	44.74	05/08/20	86.81	...	-42.07	9 of 57 - Sale ²⁵
	25.000	11.18	05/08/20	51.01	...	-39.83	10 of 57 - Sale ²⁵
	69.000	30.87	05/08/20	59.90	...	-29.03	11 of 57 - Sale ²⁵
	18.000	8.05	05/08/20	30.80	...	-22.75	12 of 57 - Sale ²⁵
	50.000	22.37	05/08/20	43.41	...	-21.04	13 of 57 - Sale ²⁵
	44.000	19.68	05/08/20	38.21	...	-18.53	14 of 57 - Sale ²⁵
	31.000	13.87	05/08/20	26.91	...	-13.04	15 of 57 - Sale ²⁵
	10.000	4.47	05/08/20	16.64	...	-12.17	16 of 57 - Sale ²⁵
	8.000	3.58	05/08/20	13.71	...	-10.13	17 of 57 - Sale ²⁵
	5.000	2.24	05/08/20	10.20	...	-7.96	18 of 57 - Sale ²⁵
	6.000	2.68	05/08/20	10.22	...	-7.54	19 of 57 - Sale ²⁵
	6.000	2.68	05/08/20	9.98	...	-7.30	20 of 57 - Sale ²⁵
	16.000	7.16	05/08/20	13.90	...	-6.74	21 of 57 - Sale ²⁵
	4.000	1.79	05/08/20	8.14	...	-6.35	22 of 57 - Sale ²⁵
	5.000	2.24	05/08/20	8.32	...	-6.08	23 of 57 - Sale ²⁵
	3.000	1.34	05/08/20	7.02	...	-5.68	24 of 57 - Sale ²⁵
	10.000	4.47	05/08/20	8.68	...	-4.21	25 of 57 - Sale ²⁵
	1,300.000	581.58	05/11/20	709.15	...	-127.57	26 of 57 - Sale ²⁵
	100.000	44.74	05/11/20	85.36	...	-40.62	27 of 57 - Sale ²⁵
	100.000	44.74	05/11/20	85.15	...	-40.41	28 of 57 - Sale ²⁵
	69.000	30.87	05/11/20	58.75	...	-27.88	29 of 57 - Sale ²⁵
	66.000	29.53	05/11/20	56.19	...	-26.66	30 of 57 - Sale ²⁵
	59.000	26.39	05/11/20	50.23	...	-23.84	31 of 57 - Sale ²⁵
	50.000	22.37	05/11/20	42.62	...	-20.25	32 of 57 - Sale ²⁵
	200.000	89.47	05/11/20	109.10	...	-19.63	33 of 57 - Sale ²⁵
	44.000	19.68	05/11/20	37.47	...	-17.79	34 of 57 - Sale ²⁵
	34.000	15.21	05/11/20	28.95	...	-13.74	35 of 57 - Sale ²⁵
	31.000	13.87	05/11/20	26.40	...	-12.53	36 of 57 - Sale ²⁵
	31.000	13.87	05/11/20	26.39	...	-12.52	37 of 57 - Sale ²⁵
	31.000	13.87	05/11/20	26.29	...	-12.42	38 of 57 - Sale ²⁵
	79.000	35.34	05/11/20	42.83	...	-7.49	39 of 57 - Sale ²⁵
	59.000	26.39	05/11/20	33.12	...	-6.73	40 of 57 - Sale ²⁵
	40.000	17.89	05/11/20	22.45	...	-4.56	41 of 57 - Sale ²⁵

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Robinhood Securities LLC

Account 119938009

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
PARETEUM CORPORATION COMMON STOCK / CUSIP: 69946T207 / Symbol: (cont'd)							
	10.000	4.47	05/11/20	8.48	...	-4.01	42 of 57 - Sale ²⁵
	7.000	3.13	05/11/20	5.96	...	-2.83	43 of 57 - Sale ²⁵
	6.000	2.68	05/11/20	5.12	...	-2.44	44 of 57 - Sale ²⁵
	21.000	9.39	05/11/20	11.38	...	-1.99	45 of 57 - Sale ²⁵
	3.000	1.34	05/11/20	2.56	...	-1.22	46 of 57 - Sale ²⁵
	3.000	1.34	05/11/20	1.63	...	-0.29	47 of 57 - Sale ²⁵
	1.000	0.45	05/11/20	0.54	...	-0.09	48 of 57 - Sale ²⁵
	800.000	357.90	05/12/20	399.84	...	-41.94	49 of 57 - Sale ²⁵
	130.000	58.16	05/12/20	65.49	...	-7.33	50 of 57 - Sale ²⁵
	40.000	17.90	05/12/20	20.00	...	-2.10	51 of 57 - Sale ²⁵
	20.000	8.95	05/12/20	10.10	...	-1.15	52 of 57 - Sale ²⁵
	8.000	3.58	05/12/20	4.00	...	-0.42	53 of 57 - Sale ²⁵
	6.000	2.68	05/12/20	3.03	...	-0.35	54 of 57 - Sale ²⁵
	2.000	0.90	05/14/20	0.89	...	0.01	55 of 57 - Sale ²⁵
	10.000	4.47	05/14/20	4.45	...	0.02	56 of 57 - Sale ²⁵
	950.000	425.01	05/14/20	420.38	...	4.63	57 of 57 - Sale ²⁵
05/15/20	5,990.000	2,679.74	Various	3,946.26	...	-1,266.52	Total of 57 transactions
	90 transactions for 05/15/20. Total proceeds and cost reported to the IRS.						
	45.000	20.13	05/08/20	33.51	11.89 W	-1.49	1 of 90 - Sale ²⁵
	3.000	1.39	05/08/20	6.22	4.83 W	0.00	2 of 90 - Sale ²⁵
	25.000	11.57	05/08/20	44.32	32.75 W	0.00	3 of 90 - Sale ²⁵
	4.000	1.85	05/08/20	7.07	5.22 W	0.00	4 of 90 - Sale ²⁵
	5.000	2.31	05/08/20	8.86	6.55 W	0.00	5 of 90 - Sale ²⁵
	39.000	18.05	05/08/20	54.35	36.30 W	0.00	6 of 90 - Sale ²⁵
	6.000	2.78	05/08/20	8.38	5.60 W	0.00	7 of 90 - Sale ²⁵
	5.000	2.31	05/08/20	6.98	4.67 W	0.00	8 of 90 - Sale ²⁵
	10.000	4.63	05/08/20	13.96	9.33 W	0.00	9 of 90 - Sale ²⁵
	18.000	8.33	05/08/20	25.99	17.66 W	0.00	10 of 90 - Sale ²⁵
	72.000	33.33	05/08/20	106.69	73.36 W	0.00	11 of 90 - Sale ²⁵
	95.000	43.98	05/08/20	140.77	96.79 W	0.00	12 of 90 - Sale ²⁵
	42.000	19.44	05/08/20	60.65	41.21 W	0.00	13 of 90 - Sale ²⁵
	6.000	2.76	05/08/20	8.60	5.84 W	0.00	14 of 90 - Sale ²⁵
	8.000	3.68	05/08/20	11.55	7.87 W	0.00	15 of 90 - Sale ²⁵
	194.000	89.21	05/08/20	115.96	26.75 W	0.00	16 of 90 - Sale ²⁵

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Robinhood Securities LLC

Account 119938009

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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PARETEUM CORPORATION COMMON STOCK / CUSIP: 69946T207 / Symbol: (cont'd)							
	100.000	45.99	05/08/20	59.77	13.78 W	0.00	17 of 90 - Sale ²⁵
	100.000	45.99	05/08/20	59.77	13.78 W	0.00	18 of 90 - Sale ²⁵
	75.000	34.49	05/08/20	44.83	10.34 W	0.00	19 of 90 - Sale ²⁵
	100.000	45.99	05/08/20	59.77	13.78 W	0.00	20 of 90 - Sale ²⁵
	100.000	45.99	05/08/20	59.77	13.78 W	0.00	21 of 90 - Sale ²⁵
	100.000	45.99	05/08/20	59.77	13.78 W	0.00	22 of 90 - Sale ²⁵
	400.000	183.94	05/08/20	239.10	55.16 W	0.00	23 of 90 - Sale ²⁵
	100.000	45.99	05/08/20	59.77	13.78 W	0.00	24 of 90 - Sale ²⁵
	717.000	329.71	05/08/20	428.59	98.88 W	0.00	25 of 90 - Sale ²⁵
	283.000	130.15	05/08/20	169.16	39.01 W	0.00	26 of 90 - Sale ²⁵
	10.000	4.60	05/08/20	5.98	1.38 W	0.00	27 of 90 - Sale ²⁵
	10.000	4.60	05/08/20	5.98	1.38 W	0.00	28 of 90 - Sale ²⁵
	589.000	270.86	05/08/20	352.08	81.22 W	0.00	29 of 90 - Sale ²⁵
	411.000	189.01	05/08/20	245.68	56.67 W	0.00	30 of 90 - Sale ²⁵
	89.000	40.93	05/08/20	53.20	12.27 W	0.00	31 of 90 - Sale ²⁵
	11.000	5.05	05/08/20	6.58	1.53 W	0.00	32 of 90 - Sale ²⁵
	67.000	30.74	05/08/20	40.05	9.31 W	0.00	33 of 90 - Sale ²⁵
	78.000	35.48	05/08/20	46.62	11.14 W	0.00	34 of 90 - Sale ²⁵
	55.000	24.80	05/08/20	32.88	8.08 W	0.00	35 of 90 - Sale ²⁵
	23.000	10.37	05/08/20	13.75	3.38 W	0.00	36 of 90 - Sale ²⁵
	77.000	34.64	05/08/20	46.03	11.39 W	0.00	37 of 90 - Sale ²⁵
	100.000	44.99	05/08/20	59.78	14.79 W	0.00	38 of 90 - Sale ²⁵
	100.000	44.99	05/08/20	59.78	14.79 W	0.00	39 of 90 - Sale ²⁵
	100.000	44.99	05/08/20	59.78	14.79 W	0.00	40 of 90 - Sale ²⁵
	100.000	44.99	05/08/20	59.78	14.79 W	0.00	41 of 90 - Sale ²⁵
	45.000	20.24	05/08/20	26.90	6.66 W	0.00	42 of 90 - Sale ²⁵
	3.000	1.35	05/08/20	6.62	5.27 W	0.00	43 of 90 - Sale ²⁵
	4.000	1.80	05/08/20	7.61	5.81 W	0.00	44 of 90 - Sale ²⁵
	5.000	2.25	05/08/20	9.53	7.28 W	0.00	45 of 90 - Sale ²⁵
	25.000	11.25	05/08/20	47.67	36.42 W	0.00	46 of 90 - Sale ²⁵
	5.000	2.25	05/08/20	7.65	5.40 W	0.00	47 of 90 - Sale ²⁵
	6.000	2.70	05/08/20	9.18	6.48 W	0.00	48 of 90 - Sale ²⁵
	6.000	2.70	05/08/20	9.42	6.72 W	0.00	49 of 90 - Sale ²⁵
	8.000	3.60	05/08/20	12.64	9.04 W	0.00	50 of 90 - Sale ²⁵

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Robinhood Securities LLC

Account 119938009

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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PARETEUM CORPORATION COMMON ST OCK / CUSIP: 69946T207 / Symbol: (cont'd)							
	10.000	4.50	05/08/20	15.30	10.80 W	0.00	51 of 90 - Sale ²⁵
	18.000	8.10	05/08/20	28.40	20.30 W	0.00	52 of 90 - Sale ²⁵
	39.000	17.54	05/08/20	59.57	42.03 W	0.00	53 of 90 - Sale ²⁵
	42.000	18.89	05/08/20	66.27	47.38 W	0.00	54 of 90 - Sale ²⁵
	72.000	32.39	05/08/20	116.32	83.93 W	0.00	55 of 90 - Sale ²⁵
	95.000	42.74	05/08/20	153.48	110.74 W	0.00	56 of 90 - Sale ²⁵
	16.000	7.19	05/08/20	11.75	4.56 W	0.00	57 of 90 - Sale ²⁵
	50.000	22.50	05/08/20	36.73	14.23 W	0.00	58 of 90 - Sale ²⁵
	10.000	4.50	05/08/20	7.35	2.85 W	0.00	59 of 90 - Sale ²⁵
	75.000	33.74	05/08/20	55.09	21.35 W	0.00	60 of 90 - Sale ²⁵
	100.000	44.99	05/08/20	73.45	28.46 W	0.00	61 of 90 - Sale ²⁵
	100.000	44.99	05/08/20	73.45	28.46 W	0.00	62 of 90 - Sale ²⁵
	100.000	44.99	05/08/20	73.45	28.46 W	0.00	63 of 90 - Sale ²⁵
	100.000	44.99	05/08/20	73.45	28.46 W	0.00	64 of 90 - Sale ²⁵
	100.000	44.98	05/08/20	73.45	28.47 W	0.00	65 of 90 - Sale ²⁵
	118.000	53.09	05/08/20	86.68	33.59 W	0.00	66 of 90 - Sale ²⁵
	7.000	3.15	05/08/20	5.14	1.99 W	0.00	67 of 90 - Sale ²⁵
	103.000	46.34	05/08/20	75.66	29.32 W	0.00	68 of 90 - Sale ²⁵
	100.000	44.99	05/08/20	73.46	28.47 W	0.00	69 of 90 - Sale ²⁵
	50.000	22.45	05/08/20	36.73	14.28 W	0.00	70 of 90 - Sale ²⁵
	10.000	4.48	05/08/20	7.35	2.87 W	0.00	71 of 90 - Sale ²⁵
	140.000	62.70	05/08/20	102.85	40.15 W	0.00	72 of 90 - Sale ²⁵
	10.000	4.47	05/08/20	7.35	2.88 W	0.00	73 of 90 - Sale ²⁵
	10.000	4.47	05/08/20	7.35	2.88 W	0.00	74 of 90 - Sale ²⁵
	11.000	4.92	05/08/20	8.09	3.17 W	0.00	75 of 90 - Sale ²⁵
	23.000	10.29	05/08/20	17.10	6.81 W	0.00	76 of 90 - Sale ²⁵
	55.000	24.61	05/08/20	40.90	16.29 W	0.00	77 of 90 - Sale ²⁵
	67.000	29.97	05/08/20	49.29	19.32 W	0.00	78 of 90 - Sale ²⁵
	78.000	34.89	05/08/20	57.68	22.79 W	0.00	79 of 90 - Sale ²⁵
	89.000	39.82	05/08/20	65.38	25.56 W	0.00	80 of 90 - Sale ²⁵
	90.000	40.26	05/08/20	66.10	25.84 W	0.00	81 of 90 - Sale ²⁵
	283.000	126.61	05/08/20	207.88	81.27 W	0.00	82 of 90 - Sale ²⁵
	411.000	183.87	05/08/20	301.91	118.04 W	0.00	83 of 90 - Sale ²⁵
	589.000	263.50	05/08/20	432.67	169.17 W	0.00	84 of 90 - Sale ²⁵

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2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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PARETEUM CORPORATION COMMON STOCK / CUSIP: 69946T207 / Symbol: (cont'd)							
	717.000	320.77	05/08/20	526.71	205.94 W	0.00	85 of 90 - Sale ²⁵
	77.000	34.45	05/08/20	57.34	22.89 W	0.00	86 of 90 - Sale ²⁵
	100.000	44.74	05/08/20	74.46	29.72 W	0.00	87 of 90 - Sale ²⁵
	100.000	44.74	05/08/20	74.46	29.72 W	0.00	88 of 90 - Sale ²⁵
	100.000	44.74	05/08/20	74.46	29.72 W	0.00	89 of 90 - Sale ²⁵
	100.000	44.74	05/08/20	74.46	29.72 W	0.00	90 of 90 - Sale ²⁵
05/15/20	8,944.000	4,055.25	Various	6,568.30	2,511.56 W	-1.49	Total of 90 transactions
	15 transactions for 05/18/20. Total proceeds and cost reported to the IRS.						
	717.000	343.06	05/18/20	524.15	...	-181.09	1 of 15 - Sale ²⁵
	411.000	196.65	05/18/20	300.52	...	-103.87	2 of 15 - Sale ²⁵
	300.000	143.54	05/18/20	219.30	...	-75.76	3 of 15 - Sale ²⁵
	289.000	138.28	05/18/20	211.33	...	-73.05	4 of 15 - Sale ²⁵
	283.000	135.41	05/18/20	206.86	...	-71.45	5 of 15 - Sale ²⁵
	90.000	43.06	05/18/20	65.78	...	-22.72	6 of 15 - Sale ²⁵
	89.000	42.59	05/18/20	65.08	...	-22.49	7 of 15 - Sale ²⁵
	78.000	37.32	05/18/20	57.42	...	-20.10	8 of 15 - Sale ²⁵
	67.000	32.06	05/18/20	49.67	...	-17.61	9 of 15 - Sale ²⁵
	67.000	32.06	05/18/20	49.07	...	-17.01	10 of 15 - Sale ²⁵
	55.000	26.32	05/18/20	40.71	...	-14.39	11 of 15 - Sale ²⁵
	23.000	11.00	05/18/20	17.02	...	-6.02	12 of 15 - Sale ²⁵
	11.000	5.26	05/18/20	8.05	...	-2.79	13 of 15 - Sale ²⁵
	10.000	4.78	05/18/20	7.32	...	-2.54	14 of 15 - Sale ²⁵
	10.000	4.78	05/18/20	7.32	...	-2.54	15 of 15 - Sale ²⁵
05/18/20	2,500.000	1,196.17	Various	1,829.60	...	-633.43	Total of 15 transactions
	6 transactions for 06/15/20. Total proceeds and cost reported to the IRS.						
	100.000	68.05	06/12/20	99.72	...	-31.67	1 of 6 - Sale ²⁵
	100.000	68.06	06/12/20	99.72	...	-31.66	2 of 6 - Sale ²⁵
	100.000	68.06	06/12/20	99.72	...	-31.66	3 of 6 - Sale ²⁵
	100.000	68.06	06/12/20	99.72	...	-31.66	4 of 6 - Sale ²⁵
	40.000	27.22	06/12/20	39.89	...	-12.67	5 of 6 - Sale ²⁵
	10.000	6.81	06/12/20	9.97	...	-3.16	6 of 6 - Sale ²⁵
06/15/20	450.000	306.26	Various	448.74	...	-142.48	Total of 6 transactions

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PARETEUM CORPORATION COMMON STOCK / CUSIP: 69946T207 / Symbol: (cont'd)							
3 transactions for 10/07/20. Total proceeds and cost reported to the IRS.							
	50.000	41.87	10/05/20	38.40	...	3.47	1 of 3 - Sale ²⁵
	100.000	83.74	10/05/20	76.79	...	6.95	2 of 3 - Sale ²⁵
	250.000	209.35	10/05/20	191.88	...	17.47	3 of 3 - Sale ²⁵
10/07/20	400.000	334.96	Various	307.07	...	27.89	Total of 3 transactions
10/08/20	50.000	41.38	10/05/20	38.39	...	2.99	Sale ²⁵
6 transactions for 10/16/20. Total proceeds and cost reported to the IRS.							
	150.000	101.33	10/15/20	111.85	...	-10.52	1 of 6 - Sale ²⁵
	50.000	33.77	10/15/20	37.36	...	-3.59	2 of 6 - Sale ²⁵
	50.000	33.77	10/15/20	34.83	...	-1.06	3 of 6 - Sale ²⁵
	50.000	33.77	10/15/20	32.80	...	0.97	4 of 6 - Sale ²⁵
	100.000	67.55	10/15/20	65.60	...	1.95	5 of 6 - Sale ²⁵
	100.000	67.69	10/15/20	65.61	...	2.08	6 of 6 - Sale ²⁵
10/16/20	500.000	337.88	Various	348.05	...	-10.17	Total of 6 transactions
15 transactions for 10/16/20. Total proceeds and cost reported to the IRS.							
	50.000	34.12	10/05/20	38.40	4.28 W	0.00	1 of 15 - Sale ²⁵
	200.000	136.49	10/09/20	163.43	26.94 W	0.00	2 of 15 - Sale ²⁵
	250.000	170.62	10/12/20	190.99	20.37 W	0.00	3 of 15 - Sale ²⁵
	250.000	170.62	10/12/20	182.10	11.48 W	0.00	4 of 15 - Sale ²⁵
	50.000	34.13	10/12/20	40.28	6.15 W	0.00	5 of 15 - Sale ²⁵
	150.000	102.37	10/12/20	128.20	25.83 W	0.00	6 of 15 - Sale ²⁵
	50.000	34.06	10/12/20	42.74	8.68 W	0.00	7 of 15 - Sale ²⁵
	250.000	169.97	10/15/20	192.87	22.90 W	0.00	8 of 15 - Sale ²⁵
	150.000	101.98	10/15/20	110.39	8.41 W	0.00	9 of 15 - Sale ²⁵
	100.000	67.99	10/15/20	73.59	5.60 W	0.00	10 of 15 - Sale ²⁵
	50.000	33.99	10/15/20	38.82	4.83 W	0.00	11 of 15 - Sale ²⁵
	50.000	33.99	10/15/20	41.35	7.36 W	0.00	12 of 15 - Sale ²⁵
	150.000	101.99	10/15/20	123.84	21.85 W	0.00	13 of 15 - Sale ²⁵
	100.000	67.99	10/15/20	74.50	6.51 W	0.00	14 of 15 - Sale ²⁵
	150.000	101.53	10/15/20	111.75	10.22 W	0.00	15 of 15 - Sale ²⁵
10/16/20	2,000.000	1,361.84	Various	1,553.25	191.41 W	0.00	Total of 15 transactions

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Robinhood Securities LLC

Account 119938009

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
PARETEUM CORPORATION COMMON STOCK / CUSIP: 69946T207 / Symbol: (cont'd)							
<i>4 transactions for 10/19/20. Total proceeds and cost reported to the IRS.</i>							
	100.000	66.28	10/15/20	66.81	...	-0.53	1 of 4 - Sale ²⁵
	50.000	33.14	10/15/20	33.41	...	-0.27	2 of 4 - Sale ²⁵
	50.000	33.14	10/15/20	33.25	...	-0.11	3 of 4 - Sale ²⁵
	50.000	33.18	10/15/20	33.26	...	-0.08	4 of 4 - Sale ²⁵
10/19/20	250.000	165.74	Various	166.73	...	-0.99	Total of 4 transactions
	Security total:	21,063.57		25,386.20	4,156.71 W	-165.92	
PING IDENTITY HOLDING CORP. / CUSIP: 72341T103 / Symbol:							
06/15/20	20.000	580.97	06/11/20	589.80	...	-8.83	Sale ²⁵
POLYMET MINING CORP. / CUSIP: 731916102 / Symbol:							
06/16/20	1,000.000	318.39	06/15/20	304.80	...	13.59	Sale ²⁵
PREDICTIVE ONCOLOGY INC. COMMON STOCK / CUSIP: 74039M200 / Symbol:							
05/19/20	100.000	145.49	05/18/20	140.00	...	5.49	Sale ²⁵
QUALIGEN THERAPEUTICS, INC. COMMON STOCK / CUSIP: 74754R103 / Symbol:							
<i>2 transactions for 06/08/20. Total proceeds and cost reported to the IRS.</i>							
	5.000	29.65	06/05/20	26.30	...	3.35	1 of 2 - Sale ²⁵
	45.000	266.85	06/05/20	236.70	...	30.15	2 of 2 - Sale ²⁵
06/08/20	50.000	296.50	Various	263.00	...	33.50	Total of 2 transactions
06/09/20	50.000	300.00	06/08/20	288.00	...	12.00	Sale ²⁵
<i>2 transactions for 06/10/20. Total proceeds and cost reported to the IRS.</i>							
	10.000	59.40	06/09/20	54.50	...	4.90	1 of 2 - Sale ²⁵
	40.000	237.60	06/09/20	217.00	...	20.60	2 of 2 - Sale ²⁵
06/10/20	50.000	297.00	Various	271.50	...	25.50	Total of 2 transactions
	Security total:	893.50		822.50	...	71.00	
RMG ACQUISITION CORP. CLASS A COMMON STOCK / CUSIP: 749641106 / Symbol:							
11/30/20	20.000	368.82	11/27/20	330.80	...	38.02	Sale ²⁵
RAYTHEON TECHNOLOGIES CORPORATION / CUSIP: 75513E101 / Symbol:							
05/05/20	10.000	600.40	05/04/20	589.80	...	10.60	Sale ²⁵

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(continued)

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REMARK HOLDINGS, INC. COMMON S TOCK / CUSIP: 75955K102 / Symbol:							
2 transactions for 05/06/20. Total proceeds and cost reported to the IRS.							
	100.000	99.30	05/05/20	68.39	...	30.91	1 of 2 - Sale ²⁵
	100.000	99.30	05/05/20	66.45	...	32.85	2 of 2 - Sale ²⁵
05/06/20	200.000	198.60	Various	134.84	...	63.76	Total of 2 transactions
06/12/20	50.000	118.25	06/11/20	112.75	...	5.50	Sale ²⁵
10/23/20	35.000	47.32	10/23/20	48.30	...	-0.98	Sale ²⁵
	Security total:	364.17		295.89	...	68.28	
REVLON, INC. / CUSIP: 761525609 / Symbol:							
11/27/20	50.000	593.53	11/24/20	520.50	...	73.03	Sale ²⁵
RIOT BLOCKCHAIN, INC. COMMON STOCK / CUSIP: 767292105 / Symbol:							
08/18/20	20.000	78.50	08/17/20	84.60	...	-6.10	Sale ²⁵
RUMBLEON, INC. CLASS B COMMON STOCK / CUSIP: 781386305 / Symbol:							
2 transactions for 06/09/20. Total proceeds and cost reported to the IRS.							
	5.000	57.50	06/08/20	47.75	...	9.75	1 of 2 - Sale ²⁵
	45.000	517.48	06/08/20	429.75	...	87.73	2 of 2 - Sale ²⁵
06/09/20	50.000	574.98	Various	477.50	...	97.48	Total of 2 transactions
06/10/20	50.000	605.99	06/09/20	600.50	...	5.49	Sale ²⁵
	Security total:	1,180.97		1,078.00	...	102.97	
SEACOR MARINE HOLDINGS INC. CO MMON STOCK / CUSIP: 78413P101 / Symbol:							
3 transactions for 06/03/20. Total proceeds and cost reported to the IRS.							
	523.000	784.41	06/01/20	805.42	...	-21.01	1 of 3 - Sale ²⁵
	77.000	115.49	06/01/20	122.83	...	-7.34	2 of 3 - Sale ²⁵
	117.000	175.48	06/01/20	181.95	...	-6.47	3 of 3 - Sale ²⁵
06/03/20	717.000	1,075.38	Various	1,110.20	...	-34.82	Total of 3 transactions
2 transactions for 06/03/20. Total proceeds and cost reported to the IRS.							
	83.000	124.49	06/01/20	129.07	4.25 W	-0.33	1 of 2 - Sale ²⁵
	200.000	304.98	06/01/20	308.00	3.02 W	0.00	2 of 2 - Sale ²⁵
06/03/20	283.000	429.47	Various	437.07	7.27 W	-0.33	Total of 2 transactions
	Security total:	1,504.85		1,547.27	7.27 W	-35.15	

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Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

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SAVARA INC. COMMON STOCK / CUSIP: 8051111101 / Symbol:							
05/28/20	100.000	249.99	05/26/20	246.74	...	3.25	Sale ²⁵
SENSEONICS HOLDINGS, INC. / CUSIP: 81727U105 / Symbol:							
05/27/20	500.000	247.49	05/20/20	236.85	...	10.64	Sale ²⁵
	12 transactions for 06/03/20. Total proceeds and cost reported to the IRS.						
	250.000	106.40	05/29/20	116.80	...	-10.40	1 of 12 - Sale ²⁵
	250.000	106.39	06/01/20	114.33	...	-7.94	2 of 12 - Sale ²⁵
	500.000	212.79	06/02/20	220.00	...	-7.21	3 of 12 - Sale ²⁵
	200.000	85.12	06/02/20	89.36	...	-4.24	4 of 12 - Sale ²⁵
	100.000	42.56	06/02/20	44.68	...	-2.12	5 of 12 - Sale ²⁵
	100.000	42.56	06/02/20	44.68	...	-2.12	6 of 12 - Sale ²⁵
	100.000	42.56	06/02/20	44.68	...	-2.12	7 of 12 - Sale ²⁵
	150.000	63.83	06/03/20	65.70	...	-1.87	8 of 12 - Sale ²⁵
	100.000	42.56	06/03/20	43.80	...	-1.24	9 of 12 - Sale ²⁵
	10.000	4.25	06/03/20	4.30	...	-0.05	10 of 12 - Sale ²⁵
	10.000	4.26	06/03/20	4.23	...	0.03	11 of 12 - Sale ²⁵
	230.000	97.88	06/03/20	97.47	...	0.41	12 of 12 - Sale ²⁵
06/03/20	2,000.000	851.16	Various	890.03	...	-38.87	Total of 12 transactions
	Security total:	1,098.65		1,126.88	...	-28.23	
SHIFTPIXY, INC. COMMON STOCK / CUSIP: 82452L203 / Symbol:							
06/02/20	100.000	532.98	06/01/20	515.99	...	16.99	Sale ²⁵
SHILOH INDUSTRIES, INC. COMMON STOCK / CUSIP: 824543102 / Symbol:							
07/01/20	100.000	161.99	06/30/20	143.50	...	18.49	Sale ²⁵
	2 transactions for 07/02/20. Total proceeds and cost reported to the IRS.						
	100.000	154.99	06/30/20	143.50	...	11.49	1 of 2 - Sale ²⁵
	100.000	154.99	06/30/20	132.50	...	22.49	2 of 2 - Sale ²⁵
07/02/20	200.000	309.98	Various	276.00	...	33.98	Total of 2 transactions
	2 transactions for 07/06/20. Total proceeds and cost reported to the IRS.						
	23.000	51.06	07/02/20	40.94	...	10.12	1 of 2 - Sale ²⁵
	27.000	59.94	07/02/20	48.06	...	11.88	2 of 2 - Sale ²⁵
07/06/20	50.000	111.00	Various	89.00	...	22.00	Total of 2 transactions

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2020 1099-B* OMB No. 1545-0715

(continued)

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SHILOH INDUSTRIES, INC. COMMON STOCK / CUSIP: 824543102 / Symbol: (cont'd)							
8 transactions for 08/25/20. Total proceeds and cost reported to the IRS.							
	100.000	113.48	07/15/20	192.00	78.52 W	0.00	1 of 8 - Sale ²⁵
	50.000	56.74	07/15/20	94.25	37.51 W	0.00	2 of 8 - Sale ²⁵
	50.000	56.74	07/15/20	94.00	37.26 W	0.00	3 of 8 - Sale ²⁵
	35.000	39.72	07/15/20	65.28	25.56 W	0.00	4 of 8 - Sale ²⁵
	65.000	73.77	07/17/20	116.35	42.58 W	0.00	5 of 8 - Sale ²⁵
	75.000	85.11	07/17/20	132.00	46.89 W	0.00	6 of 8 - Sale ²⁵
	25.000	28.37	07/17/20	44.63	16.26 W	0.00	7 of 8 - Sale ²⁵
	50.000	56.75	07/21/20	83.75	27.00 W	0.00	8 of 8 - Sale ²⁵
08/25/20	450.000	510.68	Various	822.26	311.58 W	0.00	Total of 8 transactions
26 transactions for 08/31/20. Total proceeds and cost reported to the IRS.							
	100.000	42.20	07/22/20	160.52	...	-118.32	1 of 26 - Sale ²⁵
	50.000	21.10	07/22/20	80.00	...	-58.90	2 of 26 - Sale ²⁵
	200.000	84.39	07/24/20	317.00	...	-232.61	3 of 26 - Sale ²⁵
	100.000	42.20	07/24/20	159.50	...	-117.30	4 of 26 - Sale ²⁵
	50.000	21.10	07/28/20	116.01	...	-94.91	5 of 26 - Sale ²⁵
	50.000	21.10	07/28/20	115.26	...	-94.16	6 of 26 - Sale ²⁵
	50.000	21.10	07/28/20	114.26	...	-93.16	7 of 26 - Sale ²⁵
	50.000	21.10	07/28/20	114.01	...	-92.91	8 of 26 - Sale ²⁵
	35.000	14.77	07/28/20	79.29	...	-64.52	9 of 26 - Sale ²⁵
	15.000	6.33	07/28/20	32.85	...	-26.52	10 of 26 - Sale ²⁵
	50.000	21.10	08/05/20	105.75	...	-84.65	11 of 26 - Sale ²⁵
	44.000	18.57	08/05/20	91.75	...	-73.18	12 of 26 - Sale ²⁵
	31.000	13.08	08/05/20	64.64	...	-51.56	13 of 26 - Sale ²⁵
	25.000	10.55	08/05/20	52.76	...	-42.21	14 of 26 - Sale ²⁵
	50.000	21.10	08/11/20	126.80	...	-105.70	15 of 26 - Sale ²⁵
	50.000	21.10	08/11/20	95.00	...	-73.90	16 of 26 - Sale ²⁵
	29.000	12.24	08/11/20	75.73	...	-63.49	17 of 26 - Sale ²⁵
	21.000	8.86	08/11/20	54.84	...	-45.98	18 of 26 - Sale ²⁵
	30.000	12.66	08/11/20	40.95	...	-28.29	19 of 26 - Sale ²⁵
	16.000	6.75	08/11/20	20.96	...	-14.21	20 of 26 - Sale ²⁵
	10.000	4.22	08/11/20	13.55	...	-9.33	21 of 26 - Sale ²⁵
	250.000	105.49	08/12/20	318.75	...	-213.26	22 of 26 - Sale ²⁵
	200.000	84.39	08/13/20	258.00	...	-173.61	23 of 26 - Sale ²⁵

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(continued)

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SHILOH INDUSTRIES, INC. COMMON STOCK / CUSIP: 824543102 / Symbol: (cont'd)							
	194.000	81.85	08/17/20	253.17	...	-171.32	24 of 26 - Sale ²⁵
	100.000	42.19	08/18/20	122.00	...	-79.81	25 of 26 - Sale ²⁵
	100.000	42.20	08/18/20	122.00	...	-79.80	26 of 26 - Sale ²⁵
08/31/20	1,900.000	801.74	Various	3,105.35	...	-2,303.61	Total of 26 transactions
	3 transactions for 08/31/20. Total proceeds and cost reported to the IRS.						
	21.000	8.90	07/21/20	35.18	26.28 W	0.00	1 of 3 - Sale ²⁵
	29.000	12.29	07/21/20	48.58	36.29 W	0.00	2 of 3 - Sale ²⁵
	50.000	21.20	07/22/20	80.00	58.80 W	0.00	3 of 3 - Sale ²⁵
08/31/20	100.000	42.39	Various	163.76	121.37 W	0.00	Total of 3 transactions
	Security total:	1,937.78		4,599.87	432.95 W	-2,229.14	
SOLENO THERAPEUTICS, INC. COMM ON STOCK / CUSIP: 834203200 / Symbol:							
	2 transactions for 06/24/20. Total proceeds and cost reported to the IRS.						
	10.000	18.55	06/23/20	17.40	...	1.15	1 of 2 - Sale ²⁵
	90.000	166.49	06/23/20	156.60	...	9.89	2 of 2 - Sale ²⁵
06/24/20	100.000	185.04	Various	174.00	...	11.04	Total of 2 transactions
SORRENTO THERAPEUTICS, INC. C OMMON STOCK / CUSIP: 83587F202 / Symbol:							
05/15/20	5.000	38.25	05/15/20	37.85	...	0.40	Sale ²⁵
	4 transactions for 05/27/20. Total proceeds and cost reported to the IRS.						
	50.000	252.98	05/20/20	240.50	...	12.48	1 of 4 - Sale ²⁵
	10.000	50.60	05/22/20	47.20	...	3.40	2 of 4 - Sale ²⁵
	100.000	505.97	05/22/20	494.39	...	11.58	3 of 4 - Sale ²⁵
	50.000	252.99	05/22/20	239.70	...	13.29	4 of 4 - Sale ²⁵
05/27/20	210.000	1,062.54	Various	1,021.79	...	40.75	Total of 4 transactions
	5 transactions for 05/27/20. Total proceeds and cost reported to the IRS.						
	100.000	505.97	05/19/20	542.00	36.03 W	0.00	1 of 5 - Sale ²⁵
	100.000	505.98	05/19/20	528.87	22.89 W	0.00	2 of 5 - Sale ²⁵
	50.000	252.99	05/19/20	256.94	3.95 W	0.00	3 of 5 - Sale ²⁵
	50.000	252.99	05/20/20	258.52	5.53 W	0.00	4 of 5 - Sale ²⁵
	50.000	252.99	05/21/20	269.51	16.52 W	0.00	5 of 5 - Sale ²⁵
05/27/20	350.000	1,770.92	Various	1,855.84	84.92 W	0.00	Total of 5 transactions
05/28/20	400.000	2,019.98	05/27/20	1,991.48	...	28.50	Sale ²⁵

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SORRENTO THERAPEUTICS, INC. C OMMON STOCK / CUSIP: 83587F202 / Symbol: (cont'd)							
2 transactions for 05/28/20. Total proceeds and cost reported to the IRS.							
	50.000	252.50	05/27/20	254.47	1.97 W	0.00	1 of 2 - Sale ²⁵
05/28/20	50.000	252.50	05/27/20	265.45	12.95 W	0.00	2 of 2 - Sale ²⁵
	100.000	505.00	Various	519.92	14.92 W	0.00	Total of 2 transactions
3 transactions for 05/29/20. Total proceeds and cost reported to the IRS.							
	31.000	155.62	05/28/20	155.31	...	0.31	1 of 3 - Sale ²⁵
	69.000	346.37	05/28/20	345.69	...	0.68	2 of 3 - Sale ²⁵
05/29/20	300.000	1,505.96	05/28/20	1,479.00	...	26.96	3 of 3 - Sale ²⁵
	400.000	2,007.95	Various	1,980.00	...	27.95	Total of 3 transactions
2 transactions for 05/29/20. Total proceeds and cost reported to the IRS.							
	50.000	250.99	05/28/20	253.91	2.92 W	0.00	1 of 2 - Sale ²⁵
05/29/20	50.000	250.99	05/28/20	263.45	12.46 W	0.00	2 of 2 - Sale ²⁵
	100.000	501.98	Various	517.36	15.38 W	0.00	Total of 2 transactions
5 transactions for 06/01/20. Total proceeds and cost reported to the IRS.							
	50.000	253.04	05/29/20	252.86	...	0.18	1 of 5 - Sale ²⁵
	40.000	202.43	05/29/20	197.15	...	5.28	2 of 5 - Sale ²⁵
	150.000	759.13	05/29/20	749.80	...	9.33	3 of 5 - Sale ²⁵
	100.000	506.09	05/29/20	492.00	...	14.09	4 of 5 - Sale ²⁵
06/01/20	250.000	1,265.21	05/29/20	1,250.00	...	15.21	5 of 5 - Sale ²⁵
	590.000	2,985.90	Various	2,941.81	...	44.09	Total of 5 transactions
06/01/20	50.000	253.04	05/29/20	262.40	9.36 W	0.00	Sale ²⁵
14 transactions for 06/05/20. Total proceeds and cost reported to the IRS.							
	4.000	18.00	06/03/20	16.24	...	1.76	1 of 14 - Sale ²⁵
	5.000	22.50	06/03/20	20.40	...	2.10	2 of 14 - Sale ²⁵
	5.000	22.50	06/03/20	20.30	...	2.20	3 of 14 - Sale ²⁵
	10.000	45.00	06/03/20	40.80	...	4.20	4 of 14 - Sale ²⁵
	20.000	90.00	06/03/20	81.20	...	8.80	5 of 14 - Sale ²⁵
	128.000	575.97	06/03/20	566.88	...	9.09	6 of 14 - Sale ²⁵
	200.000	899.95	06/03/20	885.74	...	14.21	7 of 14 - Sale ²⁵
	100.000	449.98	06/03/20	428.00	...	21.98	8 of 14 - Sale ²⁵
	80.000	359.98	06/03/20	326.30	...	33.68	9 of 14 - Sale ²⁵
	100.000	449.97	06/03/20	410.00	...	39.97	10 of 14 - Sale ²⁵
	100.000	449.97	06/03/20	410.00	...	39.97	11 of 14 - Sale ²⁵

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(continued)

02/14/2021

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SORRENTO THERAPEUTICS, INC. C OMMON STOCK / CUSIP: 83587F202 / Symbol: (cont'd)							
	100.000	449.98	06/03/20	407.87	...	42.11	12 of 14 - Sale ²⁵
	250.000	1,124.94	06/03/20	1,067.50	...	57.44	13 of 14 - Sale ²⁵
	200.000	899.95	06/03/20	811.74	...	88.21	14 of 14 - Sale ²⁵
06/05/20	1,302.000	5,858.69	Various	5,492.97	...	365.72	Total of 14 transactions
	19 transactions for 06/05/20. Total proceeds and cost reported to the IRS.						
	50.000	224.99	06/02/20	254.36	29.37 W	0.00	1 of 19 - Sale ²⁵
	50.000	224.99	06/02/20	245.00	20.01 W	0.00	2 of 19 - Sale ²⁵
	100.000	449.98	06/02/20	490.00	40.02 W	0.00	3 of 19 - Sale ²⁵
	20.000	89.99	06/02/20	96.40	6.41 W	0.00	4 of 19 - Sale ²⁵
	41.000	184.49	06/02/20	196.39	11.90 W	0.00	5 of 19 - Sale ²⁵
	10.000	45.00	06/02/20	51.99	6.99 W	0.00	6 of 19 - Sale ²⁵
	2.000	9.00	06/02/20	10.38	1.38 W	0.00	7 of 19 - Sale ²⁵
	50.000	224.99	06/02/20	268.86	43.87 W	0.00	8 of 19 - Sale ²⁵
	9.000	40.50	06/02/20	46.71	6.21 W	0.00	9 of 19 - Sale ²⁵
	21.000	94.50	06/03/20	103.92	9.42 W	0.00	10 of 19 - Sale ²⁵
	29.000	130.49	06/03/20	143.53	13.04 W	0.00	11 of 19 - Sale ²⁵
	50.000	224.99	06/03/20	248.01	23.02 W	0.00	12 of 19 - Sale ²⁵
	18.000	81.00	06/03/20	89.29	8.29 W	0.00	13 of 19 - Sale ²⁵
	3.000	13.50	06/03/20	14.81	1.31 W	0.00	14 of 19 - Sale ²⁵
	6.000	27.00	06/03/20	29.25	2.25 W	0.00	15 of 19 - Sale ²⁵
	2.000	9.00	06/03/20	9.84	0.84 W	0.00	16 of 19 - Sale ²⁵
	19.000	85.50	06/03/20	91.39	5.89 W	0.00	17 of 19 - Sale ²⁵
	20.000	90.00	06/03/20	96.80	6.80 W	0.00	18 of 19 - Sale ²⁵
	22.000	98.99	06/03/20	103.82	4.83 W	0.00	19 of 19 - Sale ²⁵
06/05/20	522.000	2,348.90	Various	2,590.75	241.85 W	0.00	Total of 19 transactions
	12 transactions for 06/08/20. Total proceeds and cost reported to the IRS.						
	2.000	9.00	06/04/20	8.60	...	0.40	1 of 12 - Sale ²⁵
	3.000	13.50	06/04/20	12.95	...	0.55	2 of 12 - Sale ²⁵
	6.000	27.00	06/04/20	25.53	...	1.47	3 of 12 - Sale ²⁵
	18.000	81.00	06/04/20	78.13	...	2.87	4 of 12 - Sale ²⁵
	21.000	94.50	06/04/20	90.90	...	3.60	5 of 12 - Sale ²⁵
	29.000	130.50	06/04/20	125.56	...	4.94	6 of 12 - Sale ²⁵
	20.000	90.00	06/04/20	84.40	...	5.60	7 of 12 - Sale ²⁵
	19.000	85.50	06/04/20	79.61	...	5.89	8 of 12 - Sale ²⁵

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2020 1099-B* OMB No. 1545-0715

(continued)

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SORRENTO THERAPEUTICS, INC. C OMMON STOCK / CUSIP: 83587F202 / Symbol: (cont'd)							
	50.000	224.99	06/04/20	217.02	...	7.97	9 of 12 - Sale ²⁵
	22.000	98.99	06/04/20	90.19	...	8.80	10 of 12 - Sale ²⁵
	19.000	85.50	06/04/20	73.72	...	11.78	11 of 12 - Sale ²⁵
	20.000	89.99	06/04/20	77.50	...	12.49	12 of 12 - Sale ²⁵
06/08/20	229.000	1,030.47	Various	964.11	...	66.36	Total of 12 transactions
	4 transactions for 06/08/20. Total proceeds and cost reported to the IRS.						
	50.000	224.99	06/04/20	237.87	12.88 W	0.00	1 of 4 - Sale ²⁵
	2.000	9.00	06/04/20	9.14	0.14 W	0.00	2 of 4 - Sale ²⁵
	9.000	40.50	06/04/20	41.13	0.63 W	0.00	3 of 4 - Sale ²⁵
	10.000	45.00	06/04/20	45.79	0.79 W	0.00	4 of 4 - Sale ²⁵
06/08/20	71.000	319.49	Various	333.93	14.44 W	0.00	Total of 4 transactions
	5 transactions for 06/15/20. Total proceeds and cost reported to the IRS.						
	20.000	94.20	06/12/20	95.65	...	-1.45	1 of 5 - Sale ²⁵
	2.000	9.42	06/12/20	9.12	...	0.30	2 of 5 - Sale ²⁵
	9.000	42.39	06/12/20	41.04	...	1.35	3 of 5 - Sale ²⁵
	10.000	47.10	06/12/20	45.69	...	1.41	4 of 5 - Sale ²⁵
	29.000	136.58	06/12/20	132.32	...	4.26	5 of 5 - Sale ²⁵
06/15/20	70.000	329.69	Various	323.82	...	5.87	Total of 5 transactions
06/15/20	30.000	141.30	06/12/20	143.48	2.11 W	-0.07	Sale ²⁵
	2 transactions for 09/09/20. Total proceeds and cost reported to the IRS.						
	11.000	71.72	09/01/20	83.93	12.21 W	0.00	1 of 2 - Sale ²⁵
	14.000	91.29	09/02/20	100.08	1.26 W	-7.53	2 of 2 - Sale ²⁵
09/09/20	25.000	163.01	Various	184.01	13.47 W	-7.53	Total of 2 transactions
09/10/20	2.000	12.82	09/02/20	16.52	...	-3.70	Sale ²⁵
	4 transactions for 09/14/20. Total proceeds and cost reported to the IRS.						
	9.000	61.29	09/02/20	74.33	...	-13.04	1 of 4 - Sale ²⁵
	15.000	101.55	09/02/20	107.23	...	-5.68	2 of 4 - Sale ²⁵
	16.000	108.96	09/02/20	114.38	...	-5.42	3 of 4 - Sale ²⁵
	10.000	67.75	09/02/20	71.48	...	-3.73	4 of 4 - Sale ²⁵
09/14/20	50.000	339.55	Various	367.42	...	-27.87	Total of 4 transactions

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Proceeds from Broker and Barter Exchange Transactions

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(continued)

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SORRENTO THERAPEUTICS, INC. C OMMON STOCK / CUSIP: 83587F202 / Symbol: (cont'd)							
2 transactions for 09/15/20. Total proceeds and cost reported to the IRS.							
	23.000	163.30	09/02/20	164.42	...	-1.12	1 of 2 - Sale ²⁵
	2.000	14.20	09/10/20	13.88	...	0.32	2 of 2 - Sale ²⁵
09/15/20	25.000	177.50	Various	178.30	...	-0.80	Total of 2 transactions
	Security total:	21,866.98		21,723.76	396.45 W	539.67	
SOUTHWEST AIRLINES CO. / CUSIP: 844741108 / Symbol:							
05/05/20	10.000	269.21	05/04/20	269.80	...	-0.59	Sale ²⁵
SPARTAN ENERGY ACQUISITION COR P. / CUSIP: 846784106 / Symbol:							
2 transactions for 07/13/20. Total proceeds and cost reported to the IRS.							
	1.000	19.95	07/10/20	17.35	...	2.60	1 of 2 - Sale ²⁵
	1.000	19.95	07/10/20	17.12	...	2.83	2 of 2 - Sale ²⁵
07/13/20	2.000	39.90	Various	34.47	...	5.43	Total of 2 transactions
STONEMOR INC. / CUSIP: 86184W106 / Symbol:							
05/22/20	250.000	158.95	05/18/20	159.45	...	-0.50	Sale ²⁵
SWITCHBACK ENERGY ACQUISITION CORPORATION / CUSIP: 87105M102 / Symbol:							
3 transactions for 11/16/20. Total proceeds and cost reported to the IRS.							
	10.000	170.55	11/09/20	175.00	...	-4.45	1 of 3 - Sale ²⁵
	2.000	34.11	11/10/20	32.66	...	1.45	2 of 3 - Sale ²⁵
	3.000	51.16	11/12/20	49.14	...	2.02	3 of 3 - Sale ²⁵
11/16/20	15.000	255.82	Various	256.80	...	-0.98	Total of 3 transactions
TPG RE FINANCE TRUST, INC. COM MON STOCK / CUSIP: 87266M107 / Symbol:							
05/05/20	50.000	392.75	05/04/20	348.00	...	44.75	Sale ²⁵
2 transactions for 06/01/20. Total proceeds and cost reported to the IRS.							
	25.000	187.24	05/29/20	182.50	...	4.74	1 of 2 - Sale ²⁵
	75.000	561.73	05/29/20	547.50	...	14.23	2 of 2 - Sale ²⁵
06/01/20	100.000	748.97	Various	730.00	...	18.97	Total of 2 transactions
4 transactions for 06/12/20. Total proceeds and cost reported to the IRS.							
	81.000	688.47	06/11/20	699.44	...	-10.97	1 of 4 - Sale ²⁵
	17.000	144.50	06/11/20	146.79	...	-2.29	2 of 4 - Sale ²⁵

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TPG RE FINANCE TRUST, INC. COM MON STOCK / CUSIP: 87266M107 / Symbol: (cont'd)							
	1.000	8.50	06/11/20	8.64	...	-0.14	3 of 4 - Sale ²⁵
	1.000	8.50	06/11/20	8.63	...	-0.13	4 of 4 - Sale ²⁵
06/12/20	100.000	849.97	Various	863.50	...	-13.53	Total of 4 transactions
	Security total:	1,991.69		1,941.50	...	50.19	
TAILORED BRANDS, INC. / CUSIP: 87403A107 / Symbol:							
	2 transactions for 05/20/20. Total proceeds and cost reported to the IRS.						
	101.000	106.05	05/19/20	94.94	...	11.11	1 of 2 - Sale ²⁵
	99.000	103.95	05/19/20	92.56	...	11.39	2 of 2 - Sale ²⁵
05/20/20	200.000	210.00	Various	187.50	...	22.50	Total of 2 transactions
TARONIS TECHNOLOGIES INC COMMO N STOCK / CUSIP: 876214206 / Symbol:							
	10 transactions for 04/16/20. Total proceeds and cost reported to the IRS.						
	1.000	0.17	03/20/20	0.17	...	0.00	1 of 10 - Sale ²⁵
	4.000	0.70	03/20/20	0.67	...	0.03	2 of 10 - Sale ²⁵
	35.000	6.12	03/20/20	5.90	...	0.22	3 of 10 - Sale ²⁵
	2.000	0.35	04/02/20	0.33	...	0.02	4 of 10 - Sale ²⁵
	38.000	6.65	04/02/20	6.26	...	0.39	5 of 10 - Sale ²⁵
	20.000	3.50	04/03/20	2.95	...	0.55	6 of 10 - Sale ²⁵
	900.000	157.39	04/03/20	133.02	...	24.37	7 of 10 - Sale ²⁵
	2.000	0.35	04/07/20	0.27	...	0.08	8 of 10 - Sale ²⁵
	40.000	6.99	04/07/20	5.20	...	1.79	9 of 10 - Sale ²⁵
	2,958.000	517.28	04/07/20	384.24	...	133.04	10 of 10 - Sale ²⁵
04/16/20	4,000.000	699.50	Various	539.01	...	160.49	Total of 10 transactions
04/16/20	1,000.000	174.88	03/09/20	239.00	32.06 W	-32.06	Sale ²⁵
	6 transactions for 04/17/20. Total proceeds and cost reported to the IRS.						
	1.000	0.40	04/07/20	0.19	...	0.21	1 of 6 - Sale ²⁵
	1.000	0.40	04/07/20	0.18	...	0.22	2 of 6 - Sale ²⁵
	2.000	0.80	04/07/20	0.39	...	0.41	3 of 6 - Sale ²⁵
	24.000	9.60	04/07/20	4.53	...	5.07	4 of 6 - Sale ²⁵
	100.000	39.99	04/15/20	17.46	...	22.53	5 of 6 - Sale ²⁵
	372.000	148.75	04/15/20	64.97	...	83.78	6 of 6 - Sale ²⁵
04/17/20	500.000	199.94	Various	87.72	...	112.22	Total of 6 transactions
	Security total:	1,074.32		865.73	32.06 W	240.65	

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TENAX THERAPEUTICS, INC. COMMO N STOCK / CUSIP: 88032L209 / Symbol:							
3 transactions for 05/19/20. Total proceeds and cost reported to the IRS.							
	100.000	106.98	05/18/20	86.50	...	20.48	1 of 3 - Sale ²⁵
	200.000	213.97	05/18/20	192.00	...	21.97	2 of 3 - Sale ²⁵
	200.000	213.97	05/18/20	182.00	...	31.97	3 of 3 - Sale ²⁵
05/19/20	500.000	534.92	Various	460.50	...	74.42	Total of 3 transactions
TESLA, INC. COMMON STOCK / CUSIP: 88160R101 / Symbol:							
09/10/20	1.000	387.13	09/08/20	364.78	...	22.35	Sale ²⁵
TETRA TECHNOLOGIES, INC. / CUSIP: 88162F105 / Symbol:							
05/26/20	500.000	189.94	05/22/20	182.35	...	7.59	Sale ²⁵
THERMOGENESIS HOLDINGS, INC. C OMMON STOCK / CUSIP: 88362L100 / Symbol:							
04/22/20	1.000	6.82	04/20/20	6.00	...	0.82	Sale ²⁵
TIMBER PHARMACEUTICALS, INC. / CUSIP: 887080109 / Symbol:							
8 transactions for 06/03/20. Total proceeds and cost reported to the IRS.							
	3.000	8.10	06/01/20	7.71	...	0.39	1 of 8 - Sale ²⁵
	2.000	5.40	06/01/20	5.01	...	0.39	2 of 8 - Sale ²⁵
	2.000	5.40	06/01/20	4.99	...	0.41	3 of 8 - Sale ²⁵
	8.000	21.60	06/01/20	19.96	...	1.64	4 of 8 - Sale ²⁵
	97.000	261.88	06/01/20	249.29	...	12.59	5 of 8 - Sale ²⁵
	100.000	269.98	06/01/20	257.00	...	12.98	6 of 8 - Sale ²⁵
	200.000	539.97	06/01/20	516.00	...	23.97	7 of 8 - Sale ²⁵
	88.000	237.59	06/02/20	227.50	...	10.09	8 of 8 - Sale ²⁵
06/03/20	500.000	1,349.92	Various	1,287.46	...	62.46	Total of 8 transactions
2 transactions for 06/03/20. Total proceeds and cost reported to the IRS.							
	8.000	21.60	05/29/20	21.72	0.12 W	0.00	1 of 2 - Sale ²⁵
	92.000	248.38	05/29/20	249.78	1.40 W	0.00	2 of 2 - Sale ²⁵
06/03/20	100.000	269.98	Various	271.50	1.52 W	0.00	Total of 2 transactions
11 transactions for 06/17/20. Total proceeds and cost reported to the IRS.							
	10.000	27.00	06/11/20	24.50	...	2.50	1 of 11 - Sale ²⁵
	10.000	27.00	06/11/20	23.60	...	3.40	2 of 11 - Sale ²⁵
	13.000	35.10	06/11/20	30.68	...	4.42	3 of 11 - Sale ²⁵

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Robinhood Securities LLC

Account 119938009

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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TIMBER PHARMACEUTICALS, INC. / CUSIP: 887080109 / Symbol: (cont'd)							
	23.000	62.10	06/11/20	54.05	...	8.05	4 of 11 - Sale ²⁵
	44.000	118.79	06/11/20	107.81	...	10.98	5 of 11 - Sale ²⁵
	10.000	27.00	06/12/20	22.25	...	4.75	6 of 11 - Sale ²⁵
	23.000	62.10	06/12/20	55.33	...	6.77	7 of 11 - Sale ²⁵
	47.000	126.89	06/12/20	104.57	...	22.32	8 of 11 - Sale ²⁵
	100.000	269.98	06/12/20	222.50	...	47.48	9 of 11 - Sale ²⁵
	120.000	323.97	06/12/20	267.00	...	56.97	10 of 11 - Sale ²⁵
	100.000	269.98	06/15/20	206.50	...	63.48	11 of 11 - Sale ²⁵
06/17/20	500.000	1,349.91	Various	1,118.79	...	231.12	Total of 11 transactions
	3 transactions for 06/17/20. Total proceeds and cost reported to the IRS.						
	100.000	270.99	06/09/20	279.00	8.01 W	0.00	1 of 3 - Sale ²⁵
	23.000	62.33	06/10/20	64.40	2.07 W	0.00	2 of 3 - Sale ²⁵
	77.000	207.89	06/10/20	221.77	13.88 W	0.00	3 of 3 - Sale ²⁵
06/17/20	200.000	541.21	Various	565.17	23.96 W	0.00	Total of 3 transactions
	Security total:	3,511.02		3,242.92	25.48 W	293.58	
TONIX PHARMACEUTICALS HOLDING CORP. COMMON STOCK / CUSIP: 890260706 / Symbol:							
06/09/20	250.000	182.72	06/08/20	177.50	...	5.22	Sale ²⁵
TOUGHBUILT INDUSTRIES, INC. CO MMON STOCK / CUSIP: 89157G504 / Symbol:							
	2 transactions for 07/15/20. Total proceeds and cost reported to the IRS.						
	400.000	267.95	07/14/20	283.70	...	-15.75	1 of 2 - Sale ²⁵
	100.000	66.99	07/14/20	70.93	...	-3.94	2 of 2 - Sale ²⁵
07/15/20	500.000	334.94	Various	354.63	...	-19.69	Total of 2 transactions
TRANSENTERIX INC. / CUSIP: 89366M300 / Symbol:							
05/05/20	100.000	42.56	05/04/20	41.98	...	0.58	Sale ²⁵
11/09/20	500.000	195.09	11/05/20	190.00	...	5.09	Sale ²⁵
	Security total:	237.65		231.98	...	5.67	

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T2 BIOSYSTEMS, INC. COMMON STO CK / CUSIP: 89853L104 / Symbol:							
2 transactions for 04/13/20. Total proceeds and cost reported to the IRS.							
	35.000	16.57	04/07/20	18.55	...	-1.98	1 of 2 - Sale ²⁵
	2.000	0.95	04/07/20	1.06	...	-0.11	2 of 2 - Sale ²⁵
04/13/20	37.000	17.52	Various	19.61	...	-2.09	Total of 2 transactions
TUESDAY MORNING CORP. COMMON S TOCK / CUSIP: 899035505 / Symbol:							
2 transactions for 05/06/20. Total proceeds and cost reported to the IRS.							
	200.000	53.28	05/06/20	65.02	...	-11.74	1 of 2 - Sale ²⁵
	300.000	79.91	05/06/20	84.87	...	-4.96	2 of 2 - Sale ²⁵
05/06/20	500.000	133.19	Various	149.89	...	-16.70	Total of 2 transactions
VERASTEM, INC. COMMON STOCK / CUSIP: 92337C104 / Symbol:							
2 transactions for 06/09/20. Total proceeds and cost reported to the IRS.							
	83.000	157.70	06/08/20	156.04	...	1.66	1 of 2 - Sale ²⁵
	167.000	317.30	06/08/20	313.96	...	3.34	2 of 2 - Sale ²⁵
06/09/20	250.000	475.00	Various	470.00	...	5.00	Total of 2 transactions
VIKING THERAPEUTICS, INC. COMM ON STOCK / CUSIP: 92686J106 / Symbol:							
02/24/20	50.000	340.11	02/21/20	342.99	2.82 W	-0.06	Sale ²⁵
02/25/20	29.000	184.15	02/21/20	198.94	...	-14.79	Sale ²⁵
2 transactions for 03/30/20. Total proceeds and cost reported to the IRS.							
	10.000	45.91	03/16/20	36.98	...	8.93	1 of 2 - Sale ²⁵
	39.000	179.04	03/16/20	150.05	...	28.99	2 of 2 - Sale ²⁵
03/30/20	49.000	224.95	Various	187.03	...	37.92	Total of 2 transactions
03/30/20	1.000	4.59	02/21/20	6.86	2.27 W	0.00	Sale ²⁵
2 transactions for 04/17/20. Total proceeds and cost reported to the IRS.							
	24.000	135.36	04/16/20	129.84	...	5.52	1 of 2 - Sale ²⁵
	24.000	134.64	04/17/20	130.80	...	3.84	2 of 2 - Sale ²⁵
04/17/20	48.000	270.00	Various	260.64	...	9.36	Total of 2 transactions
2 transactions for 04/17/20. Total proceeds and cost reported to the IRS.							
	1.000	5.64	04/16/20	7.68	2.04 W	0.00	1 of 2 - Sale ²⁵
	1.000	5.61	04/17/20	7.49	1.88 W	0.00	2 of 2 - Sale ²⁵
04/17/20	2.000	11.25	Various	15.17	3.92 W	0.00	Total of 2 transactions

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(continued)

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VIKING THERAPEUTICS, INC. COMM ON STOCK / CUSIP: 92686J106 / Symbol: (cont'd)							
04/24/20	1.000	5.72	04/17/20	7.53	...	-1.81	Sale ²⁵
Security total:		1,040.77		1,019.16	9.01 W	30.62	
VILLAGE FARMS INTERNATIONAL, I NC. COMMON SHARES / CUSIP: 92707Y108 / Symbol:							
07/22/20	50.000	279.56	07/21/20	299.95	...	-20.39	Sale ²⁵
VIVUS, INC. COMMON STOCK / CUSIP: 928551308 / Symbol:							
05/27/20	100.000	128.49	05/21/20	120.90	...	7.59	Sale ²⁵
WESTWATER RESOURCES, INC. COMM ON STOCK / CUSIP: 961684206 / Symbol:							
3 transactions for 10/05/20. Total proceeds and cost reported to the IRS.							
	1.000	8.34	10/05/20	6.55	...	1.79	1 of 3 - Sale ²⁵
	10.000	81.45	10/05/20	65.50	...	15.95	2 of 3 - Sale ²⁵
	11.000	91.75	10/05/20	72.05	...	19.70	3 of 3 - Sale ²⁵
10/05/20	22.000	181.54	Various	144.10	...	37.44	Total of 3 transactions
WORKHORSE GROUP, INC. COMMON S TOCK / CUSIP: 98138J206 / Symbol:							
2 transactions for 05/11/20. Total proceeds and cost reported to the IRS.							
	100.000	290.99	05/11/20	291.00	...	-0.01	1 of 2 - Sale ²⁵
	100.000	290.99	05/11/20	286.00	...	4.99	2 of 2 - Sale ²⁵
05/11/20	200.000	581.98	Various	577.00	...	4.98	Total of 2 transactions
05/11/20	100.000	290.99	05/11/20	291.00	0.01 W	0.00	Sale ²⁵
05/20/20	100.000	271.00	05/18/20	264.01	...	6.99	Sale ²⁵
11/16/20	15.000	292.27	11/13/20	288.27	...	4.00	Sale ²⁵
11/18/20	5.000	114.10	11/16/20	102.19	...	11.91	Sale ²⁵
2 transactions for 11/20/20. Total proceeds and cost reported to the IRS.							
	5.000	121.02	11/16/20	102.19	...	18.83	1 of 2 - Sale ²⁵
	10.000	242.55	11/16/20	204.39	...	38.16	2 of 2 - Sale ²⁵
11/20/20	15.000	363.57	Various	306.58	...	56.99	Total of 2 transactions
2 transactions for 11/23/20. Total proceeds and cost reported to the IRS.							
	5.000	137.30	11/16/20	102.19	...	35.11	1 of 2 - Sale ²⁵
	5.000	137.30	11/20/20	122.72	...	14.58	2 of 2 - Sale ²⁵
11/23/20	10.000	274.60	Various	224.91	...	49.69	Total of 2 transactions
Security total:		2,188.51		2,053.96	0.01 W	134.56	

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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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XPENG INC. AMERICAN DEPOSITARY SHARES, EACH REPRESENTING TWO CLASS A ORDINARY SHARES / CUSIP: 98422D105 / Symbol:							
3 transactions for 11/12/20. Total proceeds and cost reported to the IRS.							
	10.000	422.69	11/09/20	352.70	...	69.99	1 of 3 - Sale ²⁵
	2.000	84.54	11/10/20	68.05	...	16.49	2 of 3 - Sale ²⁵
	3.000	126.80	11/11/20	92.87	...	33.93	3 of 3 - Sale ²⁵
11/12/20	15.000	634.03	Various	513.62	...	120.41	Total of 3 transactions
ZOSANO PHARMA CORPORATION COMM ON STOCK / CUSIP: 98979H202 / Symbol:							
05/19/20	250.000	221.27	05/18/20	212.50	...	8.77	Sale ²⁵
BLUE HAT INTERACTIVE ENTERTAIN MENT TECHNOLOGY ORDINARY SHARE S / CUSIP: G1329V106 / Symbol:							
06/16/20	100.000	132.49	06/12/20	128.00	...	4.49	Sale ²⁵
BRIDGETOWN HOLDINGS LIMITED CL ASS A ORDINARY SHARES / CUSIP: G1355U113 / Symbol:							
12/24/20	1.000	16.36	12/22/20	14.35	...	2.01	Sale ²⁵
BORR DRILLING LIMITED COMMON S HARES OF PAR VALUE \$0.05 PER S HARE / CUSIP: G1466R207 / Symbol:							
9 transactions for 06/15/20. Total proceeds and cost reported to the IRS.							
	99.000	136.62	06/11/20	160.38	...	-23.76	1 of 9 - Sale ²⁵
	149.000	205.62	06/11/20	228.72	...	-23.10	2 of 9 - Sale ²⁵
	50.000	69.00	06/11/20	81.25	...	-12.25	3 of 9 - Sale ²⁵
	50.000	69.00	06/11/20	81.25	...	-12.25	4 of 9 - Sale ²⁵
	50.000	69.00	06/11/20	81.24	...	-12.24	5 of 9 - Sale ²⁵
	50.000	69.00	06/11/20	76.71	...	-7.71	6 of 9 - Sale ²⁵
	50.000	69.00	06/11/20	76.70	...	-7.70	7 of 9 - Sale ²⁵
	1.000	1.38	06/11/20	1.62	...	-0.24	8 of 9 - Sale ²⁵
	1.000	1.38	06/11/20	1.52	...	-0.14	9 of 9 - Sale ²⁵
06/15/20	500.000	690.00	Various	789.39	...	-99.39	Total of 9 transactions
15 transactions for 06/15/20. Total proceeds and cost reported to the IRS.							
	100.000	138.49	06/09/20	177.50	39.01 W	0.00	1 of 15 - Sale ²⁵
	100.000	137.99	06/09/20	177.50	39.51 W	0.00	2 of 15 - Sale ²⁵
	200.000	276.00	06/09/20	355.00	79.00 W	0.00	3 of 15 - Sale ²⁵
	100.000	138.09	06/09/20	177.50	39.41 W	0.00	4 of 15 - Sale ²⁵
	100.000	138.00	06/10/20	190.00	52.00 W	0.00	5 of 15 - Sale ²⁵
	1.000	1.38	06/10/20	1.80	0.42 W	0.00	6 of 15 - Sale ²⁵
	50.000	69.00	06/10/20	95.24	26.24 W	0.00	7 of 15 - Sale ²⁵

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BORR DRILLING LIMITED COMMON S HARES OF PAR VALUE \$0.05 PER S HARE / CUSIP: G1466R207 / Symbol: (cont'd)							
	100.000	137.99	06/10/20	189.99	52.00 W	0.00	8 of 15 - Sale ²⁵
	100.000	137.99	06/10/20	190.49	52.50 W	0.00	9 of 15 - Sale ²⁵
	150.000	206.99	06/10/20	272.25	65.26 W	0.00	10 of 15 - Sale ²⁵
	50.000	69.00	06/10/20	90.71	21.71 W	0.00	11 of 15 - Sale ²⁵
	50.000	69.00	06/10/20	90.70	21.70 W	0.00	12 of 15 - Sale ²⁵
	50.000	69.00	06/10/20	95.25	26.25 W	0.00	13 of 15 - Sale ²⁵
	50.000	69.00	06/10/20	95.24	26.24 W	0.00	14 of 15 - Sale ²⁵
	50.000	69.00	06/10/20	95.25	26.25 W	0.00	15 of 15 - Sale ²⁵
06/15/20	1,251.000	1,726.92	Various	2,294.42	567.50 W	0.00	Total of 15 transactions
	Security total:	2,416.92		3,083.81	567.50 W	-99.39	
CARDTRONICS PLC CLASS A ORDINA RY SHARES (UK) / CUSIP: G1991C105 / Symbol:							
05/19/20	10.000	211.30	05/18/20	200.55	...	10.75	Sale ²⁵
EROS STX GLOBAL CORPORATION / CUSIP: G3788M114 / Symbol:							
6 transactions for 04/29/20. Total proceeds and cost reported to the IRS.							
	4.000	10.80	04/17/20	12.12	1.32 W	0.00	1 of 6 - Sale ²⁵
	30.000	81.00	04/17/20	110.70	29.70 W	0.00	2 of 6 - Sale ²⁵
	25.000	67.50	04/20/20	89.00	21.50 W	0.00	3 of 6 - Sale ²⁵
	1.000	2.70	04/20/20	3.56	0.86 W	0.00	4 of 6 - Sale ²⁵
	5.000	13.50	04/20/20	17.15	3.65 W	0.00	5 of 6 - Sale ²⁵
	2.000	5.40	04/20/20	6.60	1.20 W	0.00	6 of 6 - Sale ²⁵
04/29/20	67.000	180.90	Various	239.13	58.23 W	0.00	Total of 6 transactions
7 transactions for 05/19/20. Total proceeds and cost reported to the IRS.							
	30.000	96.90	05/18/20	119.70	...	-22.80	1 of 7 - Sale ²⁵
	25.000	80.75	05/18/20	96.50	...	-15.75	2 of 7 - Sale ²⁵
	5.000	16.15	05/18/20	18.65	...	-2.50	3 of 7 - Sale ²⁵
	2.000	6.46	05/18/20	7.20	...	-0.74	4 of 7 - Sale ²⁵
	1.000	3.23	05/18/20	3.86	...	-0.63	5 of 7 - Sale ²⁵
	4.000	12.92	05/18/20	13.32	...	-0.40	6 of 7 - Sale ²⁵
	33.000	106.59	05/18/20	98.99	...	7.60	7 of 7 - Sale ²⁵
05/19/20	100.000	323.00	Various	358.22	...	-35.22	Total of 7 transactions
	Security total:	503.90		597.35	58.23 W	-35.22	

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ITERUM THERAPEUTICS PLC ORDINA RY SHARE / CUSIP: G6333L101 / Symbol:							
06/04/20	100.000	145.99	06/03/20	154.00	...	-8.01	Sale ²⁵
	<i>7 transactions for 06/04/20. Total proceeds and cost reported to the IRS.</i>						
	200.000	291.98	06/03/20	311.74	19.76 W	0.00	1 of 7 - Sale ²⁵
	50.000	72.99	06/03/20	77.94	4.95 W	0.00	2 of 7 - Sale ²⁵
	80.000	116.79	06/03/20	128.69	11.90 W	0.00	3 of 7 - Sale ²⁵
	10.000	14.60	06/03/20	16.29	1.69 W	0.00	4 of 7 - Sale ²⁵
	110.000	160.58	06/03/20	179.08	18.50 W	0.00	5 of 7 - Sale ²⁵
	50.000	72.99	06/03/20	76.46	3.47 W	0.00	6 of 7 - Sale ²⁵
	200.000	291.97	06/03/20	303.74	11.77 W	0.00	7 of 7 - Sale ²⁵
06/04/20	700.000	1,021.90	Various	1,093.94	72.04 W	0.00	Total of 7 transactions
	<i>7 transactions for 06/16/20. Total proceeds and cost reported to the IRS.</i>						
	110.000	166.08	06/12/20	176.89	...	-10.81	1 of 7 - Sale ²⁵
	70.000	105.69	06/12/20	111.20	...	-5.51	2 of 7 - Sale ²⁵
	50.000	75.49	06/12/20	76.95	...	-1.46	3 of 7 - Sale ²⁵
	10.000	15.10	06/12/20	16.09	...	-0.99	4 of 7 - Sale ²⁵
	10.000	15.20	06/12/20	15.89	...	-0.69	5 of 7 - Sale ²⁵
	50.000	75.49	06/12/20	75.46	...	0.03	6 of 7 - Sale ²⁵
	200.000	301.97	06/12/20	299.75	...	2.22	7 of 7 - Sale ²⁵
06/16/20	500.000	755.02	Various	772.23	...	-17.21	Total of 7 transactions
	Security total:	1,922.91		2,020.17	72.04 W	-25.22	
NORDIC AMERICAN TANKER / CUSIP: G65773106 / Symbol:							
05/20/20	25.000	121.28	05/19/20	112.97	...	8.31	Sale ²⁵
SOCIAL CAPITAL HEDOSOPHIA HOLD INGS CORP. III / CUSIP: G8251K107 / Symbol:							
12/10/20	1.000	11.63	12/08/20	11.16	...	0.47	Sale ²⁵
SPI ENERGY CO., LTD. ORDINARY SHARES / CUSIP: G8651P110 / Symbol:							
12/01/20	5.000	53.68	11/24/20	71.65	17.97 W	0.00	Sale ²⁵
	<i>2 transactions for 12/07/20. Total proceeds and cost reported to the IRS.</i>						
	2.000	17.64	11/24/20	28.66	11.02 W	0.00	1 of 2 - Sale ²⁵
	5.000	44.15	11/24/20	71.65	27.50 W	0.00	2 of 2 - Sale ²⁵
12/07/20	7.000	61.79	Various	100.31	38.52 W	0.00	Total of 2 transactions

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Robinhood Securities LLC

Account 119938009

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
SPI ENERGY CO., LTD. ORDINARY SHARES / CUSIP: G8651P110 / Symbol: (cont'd)							
<i>7 transactions for 12/10/20. Total proceeds and cost reported to the IRS.</i>							
	4.000	31.62	11/24/20	57.32	25.70 W	0.00	1 of 7 - Sale ²⁵
	1.000	7.90	11/24/20	17.90	10.00 W	0.00	2 of 7 - Sale ²⁵
	2.000	15.81	11/24/20	40.02	24.21 W	0.00	3 of 7 - Sale ²⁵
	3.000	23.71	11/24/20	60.00	36.29 W	0.00	4 of 7 - Sale ²⁵
	4.000	31.62	11/24/20	72.38	40.76 W	0.00	5 of 7 - Sale ²⁵
	2.000	15.81	11/24/20	35.12	19.31 W	0.00	6 of 7 - Sale ²⁵
	9.000	71.13	11/24/20	108.52	37.39 W	0.00	7 of 7 - Sale ²⁵
12/10/20	25.000	197.60	Various	391.26	193.66 W	0.00	Total of 7 transactions
<i>9 transactions for 12/15/20. Total proceeds and cost reported to the IRS.</i>							
	2.000	15.12	11/24/20	48.33	33.21 W	0.00	1 of 9 - Sale ²⁵
	2.000	15.12	11/24/20	48.30	33.18 W	0.00	2 of 9 - Sale ²⁵
	1.000	7.56	11/24/20	22.06	14.50 W	0.00	3 of 9 - Sale ²⁵
	4.000	30.24	11/24/20	73.93	43.69 W	0.00	4 of 9 - Sale ²⁵
	1.000	7.56	11/24/20	24.22	16.66 W	0.00	5 of 9 - Sale ²⁵
	2.000	15.12	11/24/20	44.62	29.50 W	0.00	6 of 9 - Sale ²⁵
	2.000	15.12	11/24/20	43.13	28.01 W	0.00	7 of 9 - Sale ²⁵
	2.000	15.12	11/24/20	44.20	29.08 W	0.00	8 of 9 - Sale ²⁵
	2.000	15.12	11/24/20	32.13	17.01 W	0.00	9 of 9 - Sale ²⁵
12/15/20	18.000	136.08	Various	380.92	244.84 W	0.00	Total of 9 transactions
12/18/20	6.000	46.50	11/24/20	96.39	49.89 W	0.00	Sale ²⁵
<i>60 transactions for 12/21/20. Total proceeds and cost reported to the IRS.</i>							
	1.000	7.79	11/24/20	16.06	8.27 W	0.00	1 of 60 - Sale ²⁵
	1.000	7.79	11/24/20	28.52	20.73 W	0.00	2 of 60 - Sale ²⁵
	1.000	7.79	11/25/20	27.40	19.61 W	0.00	3 of 60 - Sale ²⁵
	1.000	7.79	11/25/20	27.46	19.67 W	0.00	4 of 60 - Sale ²⁵
	2.000	15.58	11/25/20	54.78	39.20 W	0.00	5 of 60 - Sale ²⁵
	2.000	15.58	11/25/20	49.61	34.03 W	0.00	6 of 60 - Sale ²⁵
	1.000	7.79	11/25/20	25.30	17.51 W	0.00	7 of 60 - Sale ²⁵
	2.000	15.58	11/25/20	51.10	35.52 W	0.00	8 of 60 - Sale ²⁵
	2.000	15.58	11/25/20	50.68	35.10 W	0.00	9 of 60 - Sale ²⁵
	3.000	23.37	11/25/20	57.34	33.97 W	0.00	10 of 60 - Sale ²⁵
	2.000	15.58	11/25/20	38.61	23.03 W	0.00	11 of 60 - Sale ²⁵

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Account 119938009

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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SPI ENERGY CO., LTD. ORDINARY SHARES / CUSIP: G8651P110 / Symbol: (cont'd)							
	4.000	31.16	11/25/20	86.89	55.73 W	0.00	12 of 60 - Sale ²⁵
	2.000	15.58	11/27/20	40.00	24.42 W	0.00	13 of 60 - Sale ²⁵
	1.000	7.79	11/30/20	19.67	11.88 W	0.00	14 of 60 - Sale ²⁵
	14.000	109.06	11/30/20	159.09	50.03 W	0.00	15 of 60 - Sale ²⁵
	22.000	171.37	11/30/20	251.64	80.27 W	0.00	16 of 60 - Sale ²⁵
	1.000	7.75	11/30/20	32.17	24.42 W	0.00	17 of 60 - Sale ²⁵
	1.000	7.75	11/30/20	31.04	23.29 W	0.00	18 of 60 - Sale ²⁵
	1.000	7.75	11/30/20	19.71	11.96 W	0.00	19 of 60 - Sale ²⁵
	1.000	7.75	12/03/20	29.01	21.26 W	0.00	20 of 60 - Sale ²⁵
	2.000	15.50	12/03/20	57.87	42.37 W	0.00	21 of 60 - Sale ²⁵
	2.000	15.50	12/03/20	52.70	37.20 W	0.00	22 of 60 - Sale ²⁵
	1.000	7.75	12/03/20	26.84	19.09 W	0.00	23 of 60 - Sale ²⁵
	1.000	7.75	12/03/20	27.10	19.35 W	0.00	24 of 60 - Sale ²⁵
	1.000	7.75	12/04/20	26.54	18.79 W	0.00	25 of 60 - Sale ²⁵
	2.000	15.50	12/04/20	52.66	37.16 W	0.00	26 of 60 - Sale ²⁵
	2.000	15.51	12/04/20	40.21	24.70 W	0.00	27 of 60 - Sale ²⁵
	1.000	7.80	12/04/20	20.10	12.30 W	0.00	28 of 60 - Sale ²⁵
	2.000	15.60	12/04/20	41.97	26.37 W	0.00	29 of 60 - Sale ²⁵
	2.000	15.60	12/04/20	40.58	24.98 W	0.00	30 of 60 - Sale ²⁵
	4.000	31.20	12/04/20	90.83	59.63 W	0.00	31 of 60 - Sale ²⁵
	1.000	7.80	12/04/20	20.66	12.86 W	0.00	32 of 60 - Sale ²⁵
	10.000	78.01	12/08/20	118.84	40.83 W	0.00	33 of 60 - Sale ²⁵
	6.000	45.84	12/08/20	71.75	25.91 W	0.00	34 of 60 - Sale ²⁵
	4.000	30.56	12/08/20	47.53	16.97 W	0.00	35 of 60 - Sale ²⁵
	1.000	7.64	12/09/20	32.54	24.90 W	0.00	36 of 60 - Sale ²⁵
	1.000	7.64	12/09/20	31.41	23.77 W	0.00	37 of 60 - Sale ²⁵
	1.000	7.64	12/09/20	29.31	21.67 W	0.00	38 of 60 - Sale ²⁵
	1.000	7.64	12/09/20	20.08	12.44 W	0.00	39 of 60 - Sale ²⁵
	1.000	7.64	12/09/20	11.77	4.13 W	0.00	40 of 60 - Sale ²⁵
	15.000	113.26	12/09/20	176.52	63.26 W	0.00	41 of 60 - Sale ²⁵
	1.000	7.55	12/10/20	29.18	21.63 W	0.00	42 of 60 - Sale ²⁵
	1.000	7.55	12/10/20	29.26	21.71 W	0.00	43 of 60 - Sale ²⁵
	2.000	15.10	12/10/20	53.20	38.10 W	0.00	44 of 60 - Sale ²⁵
	1.000	7.55	12/10/20	27.09	19.54 W	0.00	45 of 60 - Sale ²⁵

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Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

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SPI ENERGY CO., LTD. ORDINARY SHARES / CUSIP: G8651P110 / Symbol: (cont'd)							
	1.000	7.55	12/10/20	27.35	19.80 W	0.00	46 of 60 - Sale ²⁵
	1.000	7.55	12/10/20	26.79	19.24 W	0.00	47 of 60 - Sale ²⁵
	2.000	15.10	12/10/20	53.15	38.05 W	0.00	48 of 60 - Sale ²⁵
	1.000	7.55	12/10/20	20.30	12.75 W	0.00	49 of 60 - Sale ²⁵
	2.000	15.10	12/10/20	40.70	25.60 W	0.00	50 of 60 - Sale ²⁵
	2.000	15.10	12/10/20	42.36	27.26 W	0.00	51 of 60 - Sale ²⁵
	3.000	22.65	12/10/20	68.71	46.06 W	0.00	52 of 60 - Sale ²⁵
	1.000	7.55	12/10/20	22.90	15.35 W	0.00	53 of 60 - Sale ²⁵
	1.000	7.55	12/17/20	32.69	25.14 W	0.00	54 of 60 - Sale ²⁵
	1.000	7.55	12/17/20	31.56	24.01 W	0.00	55 of 60 - Sale ²⁵
	1.000	7.55	12/17/20	29.46	21.91 W	0.00	56 of 60 - Sale ²⁵
	2.000	15.10	12/17/20	40.56	25.46 W	0.00	57 of 60 - Sale ²⁵
	1.000	7.55	12/17/20	20.65	13.10 W	0.00	58 of 60 - Sale ²⁵
	1.000	7.55	12/17/20	20.23	12.68 W	0.00	59 of 60 - Sale ²⁵
	10.000	75.51	12/17/20	118.72	43.21 W	0.00	60 of 60 - Sale ²⁵
12/21/20	161.000	1,239.57	Various	2,868.75	1,629.18 W	0.00	Total of 60 transactions
	4 transactions for 12/22/20. Total proceeds and cost reported to the IRS.						
	4.000	31.86	12/17/20	48.13	16.27 W	0.00	1 of 4 - Sale ²⁵
	6.000	47.79	12/17/20	72.65	24.86 W	0.00	2 of 4 - Sale ²⁵
	1.000	7.97	12/17/20	11.92	3.95 W	0.00	3 of 4 - Sale ²⁵
	3.000	23.89	12/17/20	36.02	12.13 W	0.00	4 of 4 - Sale ²⁵
12/22/20	14.000	111.51	Various	168.72	57.21 W	0.00	Total of 4 transactions
12/29/20	5.000	41.60	12/17/20	60.03	18.43 W	0.00	Sale ²⁵
	16 transactions for 12/31/20. Total proceeds and cost reported to the IRS.						
	3.000	24.16	12/21/20	67.85	...	-43.69	1 of 16 - Sale ²⁵
	2.000	16.11	12/21/20	52.54	...	-36.43	2 of 16 - Sale ²⁵
	2.000	16.11	12/21/20	52.49	...	-36.38	3 of 16 - Sale ²⁵
	2.000	16.11	12/21/20	40.04	...	-23.93	4 of 16 - Sale ²⁵
	2.000	16.11	12/21/20	39.97	...	-23.86	5 of 16 - Sale ²⁵
	1.000	8.05	12/21/20	28.93	...	-20.88	6 of 16 - Sale ²⁵
	1.000	8.05	12/21/20	27.03	...	-18.98	7 of 16 - Sale ²⁵
	1.000	8.06	12/21/20	26.77	...	-18.71	8 of 16 - Sale ²⁵
	1.000	8.05	12/21/20	26.46	...	-18.41	9 of 16 - Sale ²⁵
	1.000	8.06	12/21/20	22.60	...	-14.54	10 of 16 - Sale ²⁵

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(continued)

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SPI ENERGY CO., LTD. ORDINARY SHARES / CUSIP: G8651P110 / Symbol: (cont'd)							
	4.000	32.22	12/21/20	46.07	...	-13.85	11 of 16 - Sale ²⁵
	1.000	8.06	12/21/20	20.88	...	-12.82	12 of 16 - Sale ²⁵
	1.000	8.05	12/21/20	20.85	...	-12.80	13 of 16 - Sale ²⁵
	1.000	8.05	12/21/20	20.25	...	-12.20	14 of 16 - Sale ²⁵
	1.000	8.06	12/21/20	19.98	...	-11.92	15 of 16 - Sale ²⁵
	2.000	16.11	12/21/20	23.09	...	-6.98	16 of 16 - Sale ²⁵
12/31/20	26.000	209.42	Various	535.80	...	-326.38	Total of 16 transactions
	24 transactions for 12/31/20. Total proceeds and cost reported to the IRS.						
	4.000	32.22	12/17/20	48.03	15.81 W	0.00	1 of 24 - Sale ²⁵
	3.000	24.17	12/17/20	36.10	11.93 W	0.00	2 of 24 - Sale ²⁵
	1.000	8.05	12/17/20	29.34	21.29 W	0.00	3 of 24 - Sale ²⁵
	1.000	8.06	12/17/20	29.42	21.36 W	0.00	4 of 24 - Sale ²⁵
	2.000	16.11	12/17/20	53.52	37.41 W	0.00	5 of 24 - Sale ²⁵
	1.000	8.05	12/17/20	27.25	19.20 W	0.00	6 of 24 - Sale ²⁵
	1.000	8.05	12/17/20	27.51	19.46 W	0.00	7 of 24 - Sale ²⁵
	1.000	8.06	12/17/20	26.95	18.89 W	0.00	8 of 24 - Sale ²⁵
	2.000	16.11	12/17/20	53.47	37.36 W	0.00	9 of 24 - Sale ²⁵
	1.000	8.05	12/17/20	20.46	12.41 W	0.00	10 of 24 - Sale ²⁵
	2.000	16.11	12/17/20	41.02	24.91 W	0.00	11 of 24 - Sale ²⁵
	1.000	8.06	12/17/20	21.34	13.28 W	0.00	12 of 24 - Sale ²⁵
	1.000	8.05	12/18/20	32.89	24.84 W	0.00	13 of 24 - Sale ²⁵
	1.000	8.06	12/18/20	31.76	23.70 W	0.00	14 of 24 - Sale ²⁵
	1.000	8.05	12/18/20	29.66	21.61 W	0.00	15 of 24 - Sale ²⁵
	1.000	8.06	12/18/20	21.38	13.32 W	0.00	16 of 24 - Sale ²⁵
	1.000	8.06	12/18/20	23.10	15.04 W	0.00	17 of 24 - Sale ²⁵
	3.000	24.16	12/18/20	69.31	45.15 W	0.00	18 of 24 - Sale ²⁵
	2.000	16.11	12/18/20	40.95	24.84 W	0.00	19 of 24 - Sale ²⁵
	1.000	8.06	12/18/20	20.81	12.75 W	0.00	20 of 24 - Sale ²⁵
	1.000	8.05	12/21/20	32.41	24.36 W	0.00	21 of 24 - Sale ²⁵
	1.000	8.06	12/21/20	31.27	23.21 W	0.00	22 of 24 - Sale ²⁵
	1.000	8.05	12/21/20	29.18	21.13 W	0.00	23 of 24 - Sale ²⁵
	1.000	8.06	12/21/20	28.86	20.80 W	0.00	24 of 24 - Sale ²⁵
12/31/20	35.000	281.93	Various	805.99	524.06 W	0.00	Total of 24 transactions
	Security total:	2,379.68		5,479.82	2,773.76 W	-326.38	

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(continued)

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NAKED BRAND GROUP LIMITED ORDINARY SHARES / CUSIP: Q6519T117 / Symbol:							
6 transactions for 09/25/20. Total proceeds and cost reported to the IRS.							
	1,200.000	151.41	09/22/20	161.04	...	-9.63	1 of 6 - Sale ²⁵
	700.000	88.32	09/22/20	94.08	...	-5.76	2 of 6 - Sale ²⁵
	300.000	37.85	09/22/20	42.76	...	-4.91	3 of 6 - Sale ²⁵
	100.000	12.62	09/24/20	11.03	...	1.59	4 of 6 - Sale ²⁵
	400.000	50.47	09/24/20	44.16	...	6.31	5 of 6 - Sale ²⁵
	1,400.000	176.65	09/24/20	154.42	...	22.23	6 of 6 - Sale ²⁵
09/25/20	4,100.000	517.32	Various	507.49	...	9.83	Total of 6 transactions
09/25/20	300.000	37.82	09/22/20	40.32	2.50 W	0.00	Sale ²⁵
	Security total:	555.14		547.81	2.50 W	9.83	
GASLOG PARTNERS LP / CUSIP: Y2687W108 / Symbol:							
2 transactions for 02/27/20. Total proceeds and cost reported to the IRS.							
	1.000	3.73	02/21/20	4.13	...	-0.40	1 of 2 - Sale ²⁵
	49.000	182.82	02/24/20	188.65	...	-5.83	2 of 2 - Sale ²⁵
02/27/20	50.000	186.55	Various	192.78	...	-6.23	Total of 2 transactions
02/27/20	100.000	373.09	02/18/20	437.88	0.65 W	-64.14	Sale ²⁵
04/20/20	1.000	3.52	02/24/20	4.50	...	-0.98	Sale ²⁵
2 transactions for 06/03/20. Total proceeds and cost reported to the IRS.							
	100.000	459.97	05/27/20	468.50	...	-8.53	1 of 2 - Sale ²⁵
	50.000	229.99	06/01/20	218.88	...	11.11	2 of 2 - Sale ²⁵
06/03/20	150.000	689.96	Various	687.38	...	2.58	Total of 2 transactions
	Security total:	1,253.12		1,322.54	0.65 W	-68.77	
SEANERGY MARITIME HOLDINGS CORP COMMON STOCK / CUSIP: Y73760301 / Symbol:							
05/08/20	1.000	0.16	05/07/20	0.14	...	0.02	Sale ²⁵
5 transactions for 05/26/20. Total proceeds and cost reported to the IRS.							
	1,200.000	154.77	05/22/20	167.16	12.39 W	0.00	1 of 5 - Sale ²⁵
	1,300.000	167.67	05/22/20	181.09	13.42 W	0.00	2 of 5 - Sale ²⁵
	1,300.000	167.67	05/22/20	181.09	13.42 W	0.00	3 of 5 - Sale ²⁵
	100.000	12.90	05/22/20	13.93	1.03 W	0.00	4 of 5 - Sale ²⁵
	1,100.000	141.87	05/22/20	153.23	11.36 W	0.00	5 of 5 - Sale ²⁵
05/26/20	5,000.000	644.88	Various	696.50	51.62 W	0.00	Total of 5 transactions

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Robinhood Securities LLC

Account 119938009

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
SEANERGY MARITIME HOLDINGS COR P COMMON STOCK / CUSIP: Y73760301 / Symbol: (cont'd)							
4 transactions for 05/29/20. Total proceeds and cost reported to the IRS.							
	100.000	12.41	05/26/20	13.83	1.42 W	0.00	1 of 4 - Sale ²⁵
	100.000	12.41	05/26/20	13.83	1.42 W	0.00	2 of 4 - Sale ²⁵
	100.000	12.41	05/26/20	13.83	1.42 W	0.00	3 of 4 - Sale ²⁵
	700.000	86.85	05/26/20	96.83	9.98 W	0.00	4 of 4 - Sale ²⁵
05/29/20	1,000.000	124.08	Various	138.32	14.24 W	0.00	Total of 4 transactions
18 transactions for 06/03/20. Total proceeds and cost reported to the IRS.							
	1,300.000	160.39	05/26/20	179.82	...	-19.43	1 of 18 - Sale ²⁵
	1,200.000	148.05	05/26/20	165.99	...	-17.94	2 of 18 - Sale ²⁵
	1,100.000	135.72	05/26/20	152.16	...	-16.44	3 of 18 - Sale ²⁵
	3,000.000	370.13	05/26/20	384.00	...	-13.87	4 of 18 - Sale ²⁵
	700.000	86.36	05/26/20	99.58	...	-13.22	5 of 18 - Sale ²⁵
	100.000	12.34	05/26/20	14.68	...	-2.34	6 of 18 - Sale ²⁵
	100.000	12.34	05/26/20	14.29	...	-1.95	7 of 18 - Sale ²⁵
	400.000	49.35	05/26/20	51.20	...	-1.85	8 of 18 - Sale ²⁵
	100.000	12.34	05/26/20	13.83	...	-1.49	9 of 18 - Sale ²⁵
	51.000	6.29	05/26/20	7.49	...	-1.20	10 of 18 - Sale ²⁵
	51.000	6.29	05/26/20	7.49	...	-1.20	11 of 18 - Sale ²⁵
	49.000	6.05	05/26/20	7.19	...	-1.14	12 of 18 - Sale ²⁵
	49.000	6.05	05/26/20	7.19	...	-1.14	13 of 18 - Sale ²⁵
	51.000	6.29	05/26/20	7.30	...	-1.01	14 of 18 - Sale ²⁵
	51.000	6.29	05/26/20	7.29	...	-1.00	15 of 18 - Sale ²⁵
	49.000	6.05	05/26/20	7.00	...	-0.95	16 of 18 - Sale ²⁵
	49.000	6.05	05/26/20	7.00	...	-0.95	17 of 18 - Sale ²⁵
	1,000.000	123.37	05/29/20	123.90	...	-0.53	18 of 18 - Sale ²⁵
06/03/20	9,400.000	1,159.75	Various	1,257.40	...	-97.65	Total of 18 transactions
10 transactions for 06/03/20. Total proceeds and cost reported to the IRS.							
	100.000	12.34	05/26/20	14.22	1.88 W	0.00	1 of 10 - Sale ²⁵
	51.000	6.29	05/26/20	7.25	0.96 W	0.00	2 of 10 - Sale ²⁵
	49.000	6.05	05/26/20	6.97	0.92 W	0.00	3 of 10 - Sale ²⁵
	51.000	6.29	05/26/20	7.25	0.96 W	0.00	4 of 10 - Sale ²⁵
	49.000	6.05	05/26/20	6.97	0.92 W	0.00	5 of 10 - Sale ²⁵
	51.000	6.29	05/26/20	7.06	0.77 W	0.00	6 of 10 - Sale ²⁵

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Robinhood Securities LLC

Account 119938009

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
SEANERGY MARITIME HOLDINGS COR P COMMON STOCK / CUSIP: Y73760301 / Symbol: (cont'd)							
	100.000	12.34	05/26/20	13.83	1.49 W	0.00	7 of 10 - Sale ²⁵
	49.000	6.05	05/26/20	6.78	0.73 W	0.00	8 of 10 - Sale ²⁵
	51.000	6.29	05/26/20	7.05	0.76 W	0.00	9 of 10 - Sale ²⁵
	49.000	6.05	05/26/20	6.78	0.73 W	0.00	10 of 10 - Sale ²⁵
06/03/20	600.000	74.04	Various	84.16	10.12 W	0.00	Total of 10 transactions
	Security total:	2,002.91		2,176.52	75.98 W	-97.63	
TOP SHIPS, INC. COMMON STOCK / CUSIP: Y8897Y164 / Symbol:							
2 transactions for 04/17/20. Total proceeds and cost reported to the IRS.							
	3.000	0.68	04/16/20	0.62	...	0.06	1 of 2 - Sale ²⁵
	150.000	33.94	04/16/20	31.43	...	2.51	2 of 2 - Sale ²⁵
04/17/20	153.000	34.62	Various	32.05	...	2.57	Total of 2 transactions
05/07/20	500.000	102.44	05/06/20	96.48	...	5.96	Sale ²⁵
	Security total:	137.06		128.53	...	8.53	
Totals :		226,425.45		245,854.32	18,677.78 W	-751.09	

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
PARETEUM CORPORATION COMMON ST OCK / CUSIP: 69946T207 / Symbol:							
5 transactions for 05/04/20. Total proceeds and cost reported to the IRS.							
	16.000	10.13	02/03/20	78.43	68.30 W	0.00	1 of 5 - Sale ²⁵
	16.000	10.12	02/03/20	78.42	68.30 W	0.00	2 of 5 - Sale ²⁵
	84.000	53.16	02/03/20	411.75	358.59 W	0.00	3 of 5 - Sale ²⁵
	4.000	2.53	02/03/20	19.61	17.08 W	0.00	4 of 5 - Sale ²⁵
	4.000	2.53	02/03/20	19.61	17.08 W	0.00	5 of 5 - Sale ²⁵
05/04/20	124.000	78.47	Various	607.82	529.35 W	0.00	Total of 5 transactions

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Robinhood Securities LLC

Account 119938009

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

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- Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
PARETEUM CORPORATION COMMON STOCK / CUSIP: 69946T207 / Symbol: (cont'd)							
5 transactions for 05/08/20. Total proceeds and cost reported to the IRS.							
	4.000	2.46	05/04/20	19.54	17.08 W	0.00	1 of 5 - Sale ²⁵
	4.000	2.46	05/04/20	19.54	17.08 W	0.00	2 of 5 - Sale ²⁵
	16.000	9.82	05/04/20	78.14	68.32 W	0.00	3 of 5 - Sale ²⁵
	16.000	9.82	05/04/20	78.14	68.32 W	0.00	4 of 5 - Sale ²⁵
	84.000	51.56	05/04/20	410.23	358.67 W	0.00	5 of 5 - Sale ²⁵
05/08/20	124.000	76.12	Various	605.59	529.47 W	0.00	Total of 5 transactions
7 transactions for 05/15/20. Total proceeds and cost reported to the IRS.							
	60.000	26.84	05/08/20	307.62	...	-280.78	1 of 7 - Sale ²⁵
	24.000	10.74	05/08/20	123.13	...	-112.39	2 of 7 - Sale ²⁵
	16.000	7.16	05/08/20	82.10	...	-74.94	3 of 7 - Sale ²⁵
	12.000	5.37	05/08/20	61.52	...	-56.15	4 of 7 - Sale ²⁵
	4.000	1.79	05/08/20	21.05	...	-19.26	5 of 7 - Sale ²⁵
	4.000	1.79	05/08/20	20.52	...	-18.73	6 of 7 - Sale ²⁵
	4.000	1.79	05/08/20	20.52	...	-18.73	7 of 7 - Sale ²⁵
05/15/20	124.000	55.48	Various	636.46	...	-580.98	Total of 7 transactions
14 transactions for 05/15/20. Total proceeds and cost reported to the IRS.							
	16.000	7.47	05/08/20	77.82	70.35 W	0.00	1 of 14 - Sale ²⁵
	60.000	28.01	05/08/20	291.81	263.80 W	0.00	2 of 14 - Sale ²⁵
	24.000	11.11	05/08/20	116.72	105.61 W	0.00	3 of 14 - Sale ²⁵
	4.000	1.85	05/08/20	19.45	17.60 W	0.00	4 of 14 - Sale ²⁵
	4.000	1.85	05/08/20	19.45	17.60 W	0.00	5 of 14 - Sale ²⁵
	16.000	7.41	05/08/20	77.82	70.41 W	0.00	6 of 14 - Sale ²⁵
	4.000	1.85	05/08/20	19.98	18.13 W	0.00	7 of 14 - Sale ²⁵
	4.000	1.80	05/08/20	20.52	18.72 W	0.00	8 of 14 - Sale ²⁵
	4.000	1.80	05/08/20	19.99	18.19 W	0.00	9 of 14 - Sale ²⁵
	4.000	1.80	05/08/20	19.99	18.19 W	0.00	10 of 14 - Sale ²⁵
	12.000	5.40	05/08/20	59.92	54.52 W	0.00	11 of 14 - Sale ²⁵
	16.000	7.20	05/08/20	79.96	72.76 W	0.00	12 of 14 - Sale ²⁵
	24.000	10.80	05/08/20	119.93	109.13 W	0.00	13 of 14 - Sale ²⁵
	60.000	26.99	05/08/20	299.60	272.61 W	0.00	14 of 14 - Sale ²⁵
05/15/20	252.000	115.34	Various	1,242.96	1,127.62 W	0.00	Total of 14 transactions
	Security total:	325.41		3,092.83	2,186.44 W	-580.98	

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Robinhood Securities LLC

Account 119938009

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

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
PARETEUM CORPORATION COMMON STOCK / CUSIP: 69946T207 / Symbol: (cont'd)							
Totals :		325.41		3,092.83	2,186.44 W		-580.98

* 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 119938009

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
NEW RESIDENTIAL INVESTMENT COR P	64828T201		05/15/20	1.32	Section 199A dividend	03
			05/15/20	0.47	Nondividend distribution	03
			05/15/20	0.34	Qualified dividend	03
				2.13	Total Dividends & distributions	
TPG RE FINANCE TRUST, INC. COM MON STOCK	87266M107		07/14/20	43.00	Section 199A dividend	03
				45.13	Total Dividends & distributions	

Robinhood Securities LLC

Account 119938009

Detail for Interest Income

2020

02/14/2021

This section of your tax information statement contains the payment level detail of taxable interest and associated bond premium. Market discount will be shown here only if you have elected to recognize it currently rather than at the time of sale or maturity. Bond premium and market discount for covered tax lots are totaled on Form 1099-INT and reported to the IRS. For noncovered tax lots, they are totaled and presented beneath the 1099-INT for informational purposes and are not reported to the IRS.

To provide a complete picture of activity for each investment, we also include here nonreportable transactions such as accrued interest paid on purchases and payment or receipt of nonqualified interest. Other amounts, such as federal, state and foreign tax withheld and investment expenses are shown as negative amounts but do not net against the reportable income totals.

Security description	CUSIP and/or symbol	Date	Amount	Transaction type	Notes
		06/30/20	0.07	Interest	
		09/28/20	0.03	Interest	
		09/30/20	0.02	Interest	
		10/23/20	0.09	Interest	
		10/30/20	0.02	Interest	
		11/23/20	0.04	Interest	
		11/30/20	0.02	Interest	
			0.29	Total Interest	
			0.29	Total Interest	

Robinhood Securities LLC

Account 119938009

Non-Reportable Actions

2020

02/14/2021

Security Description	CUSIP and/or symbol	Date	Quantity	Amount	Transaction type	Notes
AYRO, INC. COMMON STOCK	054748108	05/28/20	40.00	0.00	Merger	
DCAR CONTRA	054CNT019	05/28/20	-20.00	0.00	Merger	

- 03 The tax character of the distribution has been allocated based on information provided by the security issuer.

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

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.

1099-INT Instructions for Recipient

The information provided may be different for covered and noncovered securities. For a description of covered securities, see the Instructions for Form 8949. For a taxable covered security acquired at a premium, unless you notified the payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to amortize the premium under section 171, or for a tax-exempt covered security acquired at a premium, your payer generally must report either (1) a net amount of interest that reflects the offset of the amount of interest paid to you by the amount of premium amortization allocable to the payment(s), or (2) a gross amount for both the interest paid to you and the premium amortization allocable to the payment(s). If you did notify your payer that you did not want to amortize the premium on a taxable covered security, then your payer will only report the gross amount of interest paid to you. For a noncovered security acquired at a premium, your payer is only required to report the gross amount of interest paid to you.

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 line 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 1. Shows taxable interest paid to you during the calendar year by the payer. This does not include interest shown in line 3. May also show the total amount of the credits from clean renewable energy bonds, new clean renewable energy bonds, qualified energy conservation bonds, qualified zone academy bonds, qualified school construction bonds, and build America bonds that must be included in your interest income. These amounts were treated as paid to you during 2020 on the credit allowance dates (March 15, June 15, September 15, and December 15). For more information, see Form 8912. See the instructions above for a taxable covered security acquired at a premium.

Line 2. Shows interest or principal forfeited because of early withdrawal of time savings. You may deduct this amount to figure your adjusted gross income on your income tax return. See the Instructions for Forms 1040 and 1040-SR to see where to take the deduction.

Line 3. Shows interest on U.S. Savings Bonds, Treasury bills, Treasury bonds, and Treasury notes. This may or may not all be taxable. See Pub. 550. This interest is exempt from state and local income taxes. This interest is not included in line 1. See the instructions above for a taxable covered security acquired at a premium.

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

Line 5. Any amount shown is your share of investment expenses of a singleclass REMIC. This amount is included in line 1. Note: This amount is not deductible.

Line 6. Shows foreign tax paid. You may be able to claim this tax as a deduction or a credit on your Form 1040 or 1040-SR. See your tax return instructions.

Line 7. Shows the country or U.S. possession to which the foreign tax was paid.

Line 8. Shows tax-exempt interest paid to you during the calendar year by the payer. See how to report this amount in the Instructions for Forms 1040 and 1040-SR. This

amount may be subject to backup withholding. See Line 4 above. See the instructions above for a tax-exempt covered security acquired at a premium.

Line 9. Shows tax-exempt interest subject to the alternative minimum tax. This amount is included in line 8. See the Instructions for Form 6251. See the instructions above for a tax-exempt covered security acquired at a premium.

Line 10. For a taxable or tax-exempt covered security, if you made an election under section 1278(b) to include market discount in income as it accrues and you notified your payer of the election in writing in accordance with Regulations section 1.6045-1(n)(5), shows the market discount that accrued on the debt instrument during the year while held by you, unless it was reported on Form 1099-OID. For a taxable or tax-exempt covered security acquired on or after January 1, 2015, accrued market discount will be calculated on a constant yield basis unless you notified your payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to make a constant yield election for market discount under section 1276(b). Report the accrued market discount on your income tax return as directed in the Instructions for Forms 1040 and 1040-SR. Market discount on a tax-exempt security is includable in taxable income as interest income.

Line 11. For a taxable covered security (other than a U.S. Treasury obligation), shows the amount of premium amortization allocable to the interest payment(s), unless you notified the payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to amortize bond premium under section 171. If an amount is reported in this line, see the Instructions for Schedule B (Form 1040 or 1040-SR) to determine the net amount of interest includable in income on Form 1040 or 1040-SR with respect to the security. If an amount is not reported in this line for a taxable covered security acquired at a premium and the payer is reporting premium amortization, the payer has reported a net amount of interest in line 1. If the amount in line 11 is greater than the amount of interest paid on the covered security, see Regulations section 1.171-2(a)(4).

Line 12. For a U.S. Treasury obligation that is a covered security, shows the amount of premium amortization allocable to the interest payment(s), unless you notified the payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to amortize bond premium under section 171. If an amount is reported in this line, see the Instructions for Schedule B (Form 1040 or 1040-SR) to determine the net amount of interest includable in income on Form 1040 or 1040-SR with respect to the U.S. Treasury obligation. If an amount is not reported in this line for a U.S. Treasury obligation that is a covered security acquired at a premium and the payer is reporting premium amortization, the payer has reported a net amount of interest in line 3. If the amount in line 12 is greater than the amount of interest paid on the U.S. Treasury obligation, see Regulations section 1.171-2(a)(4).

Line 13. For a tax-exempt covered security, shows the amount of premium amortization allocable to the interest payment(s). If an amount is reported in this line, see Pub. 550 to determine the net amount of tax-exempt interest reportable on Form 1040 or 1040-SR. If an amount is not reported in this line for a tax-exempt covered security acquired at a premium, the payer has reported a net amount of interest in line 8 or 9, whichever is applicable. If the amount in line 13 is greater than the amount of interest paid on the tax-exempt covered security, the excess is a nondeductible loss. See Regulations section 1.171-2(a)(4)(ii).

Line 14. Shows CUSIP number(s) for tax-exempt bond(s) on which tax-exempt interest was paid, or tax credit bond(s) on which taxable interest was paid or tax credit was allowed, to you during the calendar year. If blank, no CUSIP number was issued for the bond(s). **Lines 15-17.** State tax withheld reporting lines. Nominees. If this form includes amounts belonging to another person(s), you are considered a nominee recipient. Complete a Form 1099-INT for each of the other owners showing the income allocable to each. File Copy A of the form with the IRS. Furnish Copy B to each owner. List yourself as the "payer" and the other owner(s) as the "recipient." File Form(s) 1099-INT with Form 1096 with the Internal Revenue Service Center for your area. On Form 1096, list yourself as the "filer." A spouse is not required to file a nominee return to show amounts owned by the other spouse. Future developments. For the latest information about developments related to Form 1099-INT and its instructions, such as legislation enacted after they were published, go to www.irs.gov/Form1099INT.

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.

Instructions for Recipient

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 may also 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.

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