

<b>Robinhood Securities LLC</b> 500 Colonial Center Parkway Suite 100 Lake Mary, FL 32746 Customer Service: 650-940-2700  PAYER'S TIN: 38-4019216	<b>Tax Information</b> <b>Account 162621171</b>	Statement Date: 02/14/2021 Document ID: U481 NJK BGGD	2020
	Jayachandra Myla 207 Thoreau Cir Apt E Yorktown, VA 23693  RECIPIENT'S TIN: XXX-XX-1458		

**Summary Information**

DIVIDENDS AND DISTRIBUTIONS	2020 1099-DIV*	OMB No. 1545-0110	MISCELLANEOUS INCOME	2020 1099-MISC*	OMB No. 1545-0115
1a- Total ordinary dividends (includes lines 1b, 5)	18.35		2- Royalties	0.00	
1b- Qualified dividends	10.18		3- Other income	0.00	
2a- Total capital gain distributions (includes lines 2b, 2c, 2d)	0.24		<b>4- Federal income tax withheld</b>	<b>0.00</b>	
2b- Unrecaptured Section 1250 gain	0.02		8- Substitute payments in lieu of dividends or interest	0.00	
2c- Section 1202 gain	0.00				
2d- Collectibles (28%) gain	0.00		<b>SECTION 1256 CONTRACTS</b>	<b>2020 1099-B*</b>	OMB No. 1545-0715
3- Nondividend distributions	0.00		8- Profit or (loss) realized in 2020 on closed contracts	0.00	
<b>4- Federal income tax withheld</b>	<b>0.00</b>		9- Unrealized profit or (loss) on open contracts-12/31/2019	0.00	
5- Section 199A dividends	8.17		10- Unrealized profit or (loss) on open contracts-12/31/2020	0.00	
6- Investment expenses	0.00		11- Aggregate profit or (loss) on contracts	0.00	
8- Foreign country or US possession:	0.00				
7- Foreign tax paid:	0.00				
9- Cash liquidation distributions	0.00				
10- Noncash liquidation distributions	0.00				
11- Exempt-interest dividends (includes line 12)	0.00				
12- Specified private activity bond interest dividends (AMT)	0.00				

*If applicable, proceeds from sale transactions appear summarized below and are detailed in subsequent sections of this document.*

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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)	72,037.45	68,005.83	0.00	1,553.58	5,585.20
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
	<b>Total Short-term</b>	<b>72,037.45</b>	<b>68,005.83</b>	<b>0.00</b>	<b>1,553.58</b>	<b>5,585.20</b>
Long	D (basis reported to the IRS)	1.41	4.54	0.00	0.00	-3.13
Long	E (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Long	F (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
	<b>Total Long-term</b>	<b>1.41</b>	<b>4.54</b>	<b>0.00</b>	<b>0.00</b>	<b>-3.13</b>
Undetermined	B or E (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Undetermined	C or F (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
	<b>Total Undetermined-term</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
	<b>Grand total</b>	<b>72,038.86</b>	<b>68,010.37</b>	<b>0.00</b>	<b>1,553.58</b>	<b>5,582.07</b>
<b>Withholding</b>		<b>Amount</b>				
	Federal income tax withheld	0.00				

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

Robinhood Securities LLC

Account 162621171

**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)	1.16
2- Early withdrawal penalty	0.00
3- Interest on US Savings Bonds & Treasury obligations	0.00
<b>4- Federal income tax withheld</b>	<b>0.00</b>
5- Investment expenses	0.00
7- Foreign country or US possession: 6- Foreign tax paid:	0.00
8- Tax-exempt interest (includes line 9)	0.00
9- Specified private activity bond interest (AMT)	0.00
10- Market discount (covered lots)	0.00
11- Bond premium (covered lots)	0.00
12- Bond premium on Treasury obligations (covered lots)	0.00
13- Bond premium on tax-exempt bonds (categorized below)	0.00
<i>Tax-exempt obligations (covered lots)</i>	0.00
<i>Tax-exempt private activity obligations (AMT, covered lots)</i>	0.00
14- Tax-exempt and tax credit bond CUSIP number	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 162621171

## 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
AAL 12/18/2020 CALL \$17.50 / CUSIP: / Symbol:							
12/07/20	1.000	116.98	12/07/20	70.00	...	46.98	Option sale to close-call <sup>25</sup>
AAPL 09/18/2020 CALL \$136.25 / CUSIP: / Symbol:							
09/18/20	1.000	0.00	09/08/20	67.00	...	-67.00	Option expiration- long call
AAPL 09/25/2020 CALL \$150.00 / CUSIP: / Symbol:							
09/25/20	2.000	0.00	09/03/20	216.00	...	-216.00	Option expiration- long call
ETSY 09/18/2020 CALL \$115.00 / CUSIP: / Symbol:							
09/10/20	1.000	462.97	09/09/20	390.00	...	72.97	Option sale to close-call <sup>25</sup>
GE 12/24/2020 CALL \$11.00 / CUSIP: / Symbol:							
12/24/20	1.000	0.98	12/18/20	20.00	...	-19.02	Option sale to close-call <sup>25</sup>

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Account 162621171

**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)	7- Loss not allowed (X) also not reported (Z)	Gain or loss(-) & Additional information
NKLA 09/11/2020 CALL \$50.00 / CUSIP: / Symbol:							
09/08/20	1.000	469.97	09/08/20	400.00	...	69.97	Option sale to close-call <sup>25</sup>
PFE 12/18/2020 CALL \$42.00 / CUSIP: / Symbol:							
12/08/20	1.000	184.98	12/07/20	134.00	...	50.98	Option sale to close-call <sup>25</sup>
12/10/20	1.000	189.98	12/09/20	160.00	...	29.98	Option sale to close-call <sup>25</sup>
	<b>Security total:</b>	<b>374.96</b>		<b>294.00</b>	...	<b>80.96</b>	
PFE 12/18/2020 CALL \$42.50 / CUSIP: / Symbol:							
12/09/20	1.000	178.98	12/08/20	167.00	...	11.98	Option sale to close-call <sup>25</sup>
PLTR 12/24/2020 CALL \$27.50 / CUSIP: / Symbol:							
12/21/20	1.000	98.98	12/21/20	86.00	...	12.98	Option sale to close-call <sup>25</sup>
PLTR 12/24/2020 CALL \$29.00 / CUSIP: / Symbol:							
12/24/20	1.000	0.00	12/21/20	92.00	...	-92.00	Option expiration- long call
SPY 09/16/2020 CALL \$345.00 / CUSIP: / Symbol:							
09/15/20	1.000	67.98	09/14/20	44.00	...	23.98	Option sale to close-call <sup>25</sup>
ACTINIUM PHARMACEUTICALS, INC / CUSIP: 00507W107 / Symbol:							
06/22/20	100.000	43.05	06/05/20	36.00	...	7.05	Sale <sup>25</sup>
AGEAGLE AERIAL SYSTEMS, INC. / CUSIP: 00848K101 / Symbol:							
07/10/20	100.000	186.49	06/12/20	149.00	...	37.49	Sale <sup>25</sup>
AIRBNB, INC. CLASS A COMMON STOCK / CUSIP: 009066101 / Symbol:							
12/11/20	1.000	150.14	12/10/20	149.18	...	0.96	Sale <sup>25</sup>
AMERICAN AIRLINES GROUP INC. COMMON STOCK / CUSIP: 02376R102 / Symbol:							
	16 transactions for 06/10/20. Total proceeds and cost reported to the IRS.						
	3.000	51.24	03/16/20	38.03	...	13.21	1 of 16 - Sale <sup>25</sup>
	5.000	85.40	03/19/20	53.65	...	31.75	2 of 16 - Sale <sup>25</sup>
	2.000	34.16	03/20/20	21.50	...	12.66	3 of 16 - Sale <sup>25</sup>
	1.000	17.08	04/01/20	10.75	...	6.33	4 of 16 - Sale <sup>25</sup>
	2.000	34.16	04/02/20	20.34	...	13.82	5 of 16 - Sale <sup>25</sup>
	3.000	51.24	04/03/20	28.23	...	23.01	6 of 16 - Sale <sup>25</sup>

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Robinhood Securities LLC

Account 162621171

**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
AMERICAN AIRLINES GROUP INC. C OMMON STOCK / CUSIP: 02376R102 / Symbol: (cont'd)							
	3.000	51.24	04/06/20	28.02	...	23.22	7 of 16 - Sale <sup>25</sup>
	4.000	68.32	04/06/20	37.56	...	30.76	8 of 16 - Sale <sup>25</sup>
	2.000	34.16	04/13/20	25.88	...	8.28	9 of 16 - Sale <sup>25</sup>
	2.000	34.16	04/14/20	24.06	...	10.10	10 of 16 - Sale <sup>25</sup>
	3.000	51.24	04/14/20	35.46	...	15.78	11 of 16 - Sale <sup>25</sup>
	10.000	170.79	04/22/20	102.69	...	68.10	12 of 16 - Sale <sup>25</sup>
	3.000	51.24	04/24/20	31.01	...	20.23	13 of 16 - Sale <sup>25</sup>
	7.000	119.55	04/29/20	89.94	...	29.61	14 of 16 - Sale <sup>25</sup>
	4.000	68.31	05/01/20	42.55	...	25.76	15 of 16 - Sale <sup>25</sup>
	6.000	102.47	05/04/20	56.82	...	45.65	16 of 16 - Sale <sup>25</sup>
06/10/20	60.000	1,024.76	Various	646.49	...	378.27	Total of 16 transactions
	4 transactions for 08/07/20. Total proceeds and cost reported to the IRS.						
	10.000	127.32	07/28/20	119.08	...	8.24	1 of 4 - Sale <sup>25</sup>
	5.000	63.66	07/31/20	55.24	...	8.42	2 of 4 - Sale <sup>25</sup>
	5.000	63.66	08/04/20	59.20	...	4.46	3 of 4 - Sale <sup>25</sup>
	10.000	127.31	08/05/20	125.00	...	2.31	4 of 4 - Sale <sup>25</sup>
08/07/20	30.000	381.95	Various	358.52	...	23.43	Total of 4 transactions
	3 transactions for 08/07/20. Total proceeds and cost reported to the IRS.						
	1.000	12.73	06/12/20	15.89	3.16 W	0.00	1 of 3 - Sale <sup>25</sup>
	9.000	114.58	06/25/20	116.01	1.43 W	0.00	2 of 3 - Sale <sup>25</sup>
	10.000	127.32	08/05/20	127.78	0.46 W	0.00	3 of 3 - Sale <sup>25</sup>
08/07/20	20.000	254.63	Various	259.68	5.05 W	0.00	Total of 3 transactions
	3 transactions for 08/31/20. Total proceeds and cost reported to the IRS.						
	9.000	118.44	08/07/20	116.09	...	2.35	1 of 3 - Sale <sup>25</sup>
	1.000	13.16	08/17/20	12.90	...	0.26	2 of 3 - Sale <sup>25</sup>
	5.000	65.80	08/21/20	61.41	...	4.39	3 of 3 - Sale <sup>25</sup>
08/31/20	15.000	197.40	Various	190.40	...	7.00	Total of 3 transactions
	2 transactions for 08/31/20. Total proceeds and cost reported to the IRS.						
	1.000	13.16	08/07/20	15.90	2.74 W	0.00	1 of 2 - Sale <sup>25</sup>
	4.000	52.64	08/11/20	58.02	1.35 W	-4.03	2 of 2 - Sale <sup>25</sup>
08/31/20	5.000	65.80	Various	73.92	4.09 W	-4.03	Total of 2 transactions

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Account 162621171

**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
AMERICAN AIRLINES GROUP INC. C OMMON STOCK / CUSIP: 02376R102 / Symbol: (cont'd)							
2 transactions for 11/09/20. Total proceeds and cost reported to the IRS.							
	8.000	105.14	10/07/20	105.08	...	0.06	1 of 2 - Sale <sup>25</sup>
	10.000	131.42	10/14/20	123.58	...	7.84	2 of 2 - Sale <sup>25</sup>
11/09/20	18.000	236.56	Various	228.66	...	7.90	Total of 2 transactions
2 transactions for 11/09/20. Total proceeds and cost reported to the IRS.							
	1.000	13.14	09/08/20	16.54	3.40 W	0.00	1 of 2 - Sale <sup>25</sup>
	1.000	13.14	09/24/20	13.25	0.11 W	0.00	2 of 2 - Sale <sup>25</sup>
11/09/20	2.000	26.28	Various	29.79	3.51 W	0.00	Total of 2 transactions
3 transactions for 12/07/20. Total proceeds and cost reported to the IRS.							
	1.000	17.34	11/25/20	18.24	...	-0.90	1 of 3 - Sale <sup>25</sup>
	1.000	17.34	11/25/20	14.95	...	2.39	2 of 3 - Sale <sup>25</sup>
	8.000	138.73	11/25/20	118.69	...	20.04	3 of 3 - Sale <sup>25</sup>
12/07/20	10.000	173.41	Various	151.88	...	21.53	Total of 3 transactions
	<b>Security total:</b>	<b>2,360.79</b>		<b>1,939.34</b>	<b>12.65 W</b>	<b>434.10</b>	
APPLE INC. COMMON STOCK / CUSIP: 037833100 / Symbol:							
07/29/20	1.000	379.60	06/23/20	364.41	...	15.19	Sale <sup>25</sup>
07/30/20	1.000	403.50	06/26/20	356.18	...	47.32	Sale <sup>25</sup>
08/03/20	2.000	871.06	07/30/20	812.54	...	58.52	Sale <sup>25</sup>
4 transactions for 11/09/20. Total proceeds and cost reported to the IRS.							
	1.000	121.48	08/31/20	130.47	...	-8.99	1 of 4 - Sale <sup>25</sup>
	1.000	121.47	08/31/20	129.92	...	-8.45	2 of 4 - Sale <sup>25</sup>
	1.000	121.47	09/10/20	113.28	...	8.19	3 of 4 - Sale <sup>25</sup>
	1.000	121.48	09/21/20	107.23	...	14.25	4 of 4 - Sale <sup>25</sup>
11/09/20	4.000	485.90	Various	480.90	...	5.00	Total of 4 transactions
	<b>Security total:</b>	<b>2,140.06</b>		<b>2,014.03</b>	...	<b>126.03</b>	
ASANA, INC. CLASS A COMMON STO CK / CUSIP: 04342Y104 / Symbol:							
3 transactions for 11/09/20. Total proceeds and cost reported to the IRS.							
	1.000	23.94	09/30/20	28.87	...	-4.93	1 of 3 - Sale <sup>25</sup>
	1.000	23.93	10/07/20	26.48	...	-2.55	2 of 3 - Sale <sup>25</sup>
	1.000	23.94	10/13/20	24.90	...	-0.96	3 of 3 - Sale <sup>25</sup>
11/09/20	3.000	71.81	Various	80.25	...	-8.44	Total of 3 transactions

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Robinhood Securities LLC

Account 162621171

## 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
ASTRAZENECA PLC AMERICAN DEPOS ITARY SHARES / CUSIP: 046353108 / Symbol:							
2 transactions for 08/18/20. Total proceeds and cost reported to the IRS.							
	1.000	56.51	07/21/20	58.92	2.41 W	0.00	1 of 2 - Sale <sup>25</sup>
	1.000	56.51	08/10/20	57.77	1.26 W	0.00	2 of 2 - Sale <sup>25</sup>
08/18/20	2.000	113.02	Various	116.69	3.67 W	0.00	Total of 2 transactions
08/31/20	1.000	55.97	08/21/20	55.31	...	0.66	Sale <sup>25</sup>
08/31/20	1.000	55.96	08/21/20	56.57	0.61 W	0.00	Sale <sup>25</sup>
2 transactions for 09/10/20. Total proceeds and cost reported to the IRS.							
	1.000	53.79	09/02/20	56.36	...	-2.57	1 of 2 - Sale <sup>25</sup>
	1.000	53.79	09/02/20	55.75	...	-1.96	2 of 2 - Sale <sup>25</sup>
09/10/20	2.000	107.58	Various	112.11	...	-4.53	Total of 2 transactions
	<b>Security total:</b>	<b>332.53</b>		<b>340.68</b>	<b>4.28 W</b>	<b>-3.87</b>	
AVINGER, INC. COMMON STOCK / CUSIP: 053734604 / Symbol:							
3 transactions for 07/27/20. Total proceeds and cost reported to the IRS.							
	200.000	86.64	06/09/20	124.00	...	-37.36	1 of 3 - Sale <sup>25</sup>
	100.000	43.32	06/12/20	44.52	...	-1.20	2 of 3 - Sale <sup>25</sup>
	700.000	303.22	06/25/20	203.07	...	100.15	3 of 3 - Sale <sup>25</sup>
07/27/20	1,000.000	433.18	Various	371.59	...	61.59	Total of 3 transactions
BIGCOMMERCE HOLDINGS, INC. SER IES 1 COMMON STOCK / CUSIP: 08975P108 / Symbol:							
2 transactions for 08/05/20. Total proceeds and cost reported to the IRS.							
	2.000	160.97	08/05/20	204.75	...	-43.78	1 of 2 - Sale <sup>25</sup>
	1.000	80.49	08/05/20	86.89	...	-6.40	2 of 2 - Sale <sup>25</sup>
08/05/20	3.000	241.46	Various	291.64	...	-50.18	Total of 2 transactions
2 transactions for 08/05/20. Total proceeds and cost reported to the IRS.							
	13.000	1,046.35	08/05/20	1,156.74	101.89 W	-8.50	1 of 2 - Sale <sup>25</sup>
	2.000	146.99	08/05/20	177.96	30.97 W	0.00	2 of 2 - Sale <sup>25</sup>
08/05/20	15.000	1,193.34	Various	1,334.70	132.86 W	-8.50	Total of 2 transactions
7 transactions for 08/06/20. Total proceeds and cost reported to the IRS.							
	1.000	82.89	08/05/20	84.48	...	-1.59	1 of 7 - Sale <sup>25</sup>
	1.000	82.89	08/05/20	83.64	...	-0.75	2 of 7 - Sale <sup>25</sup>
	1.000	82.89	08/05/20	82.29	...	0.60	3 of 7 - Sale <sup>25</sup>
	1.000	82.89	08/05/20	82.24	...	0.65	4 of 7 - Sale <sup>25</sup>

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Robinhood Securities LLC

Account 162621171

## 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
BIGCOMMERCE HOLDINGS, INC. SER IES 1 COMMON STOCK / CUSIP: 08975P108 / Symbol: (cont'd)							
	1.000	82.88	08/05/20	81.49	...	1.39	5 of 7 - Sale <sup>25</sup>
	1.000	82.89	08/05/20	80.59	...	2.30	6 of 7 - Sale <sup>25</sup>
	1.000	82.88	08/05/20	78.90	...	3.98	7 of 7 - Sale <sup>25</sup>
08/06/20	7.000	580.21	Various	573.63	...	6.58	Total of 7 transactions
	3 transactions for 08/31/20. Total proceeds and cost reported to the IRS.						
	1.000	109.08	08/25/20	93.50	...	15.58	1 of 3 - Sale <sup>25</sup>
	1.000	109.07	08/25/20	93.49	...	15.58	2 of 3 - Sale <sup>25</sup>
	1.000	109.08	08/25/20	91.49	...	17.59	3 of 3 - Sale <sup>25</sup>
08/31/20	3.000	327.23	Various	278.48	...	48.75	Total of 3 transactions
	3 transactions for 10/07/20. Total proceeds and cost reported to the IRS.						
	1.000	97.00	08/31/20	127.75	...	-30.75	1 of 3 - Sale <sup>25</sup>
	1.000	97.00	09/04/20	104.01	...	-7.01	2 of 3 - Sale <sup>25</sup>
	1.000	97.00	09/23/20	78.94	...	18.06	3 of 3 - Sale <sup>25</sup>
10/07/20	3.000	291.00	Various	310.70	...	-19.70	Total of 3 transactions
	<b>Security total:</b>	<b>2,633.24</b>		<b>2,789.15</b>	<b>132.86 W</b>	<b>-23.05</b>	
BIOCEPT, INC. COMMON STOCK / CUSIP: 09072V402 / Symbol:							
07/30/20	100.000	71.68	07/29/20	71.49	...	0.19	Sale <sup>25</sup>
BOEING COMPANY / CUSIP: 097023105 / Symbol:							
06/10/20	1.000	204.31	06/04/20	184.86	...	19.45	Sale <sup>25</sup>
06/16/20	1.000	197.97	06/12/20	187.11	...	10.86	Sale <sup>25</sup>
	2 transactions for 08/31/20. Total proceeds and cost reported to the IRS.						
	1.000	172.00	08/04/20	165.45	...	6.55	1 of 2 - Sale <sup>25</sup>
	1.000	171.99	08/20/20	167.93	...	4.06	2 of 2 - Sale <sup>25</sup>
08/31/20	2.000	343.99	Various	333.38	...	10.61	Total of 2 transactions
	2 transactions for 08/31/20. Total proceeds and cost reported to the IRS.						
	1.000	172.00	06/25/20	173.19	1.19 W	0.00	1 of 2 - Sale <sup>25</sup>
	1.000	171.99	07/29/20	174.29	2.30 W	0.00	2 of 2 - Sale <sup>25</sup>
08/31/20	2.000	343.99	Various	347.48	3.49 W	0.00	Total of 2 transactions
09/02/20	1.000	173.48	08/31/20	173.46	...	0.02	Sale <sup>25</sup>
09/02/20	1.000	173.48	08/31/20	174.26	0.78 W	0.00	Sale <sup>25</sup>

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Robinhood Securities LLC

Account 162621171

**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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BOEING COMPANY / CUSIP: 097023105 / Symbol: (cont'd)							
5 transactions for 11/09/20. Total proceeds and cost reported to the IRS.							
	1.000	176.22	09/02/20	175.64	...	0.58	1 of 5 - Sale <sup>25</sup>
	1.000	176.22	09/02/20	174.86	...	1.36	2 of 5 - Sale <sup>25</sup>
	1.000	176.23	09/10/20	162.06	...	14.17	3 of 5 - Sale <sup>25</sup>
	1.000	176.23	09/22/20	157.04	...	19.19	4 of 5 - Sale <sup>25</sup>
	1.000	176.23	11/02/20	146.96	...	29.27	5 of 5 - Sale <sup>25</sup>
11/09/20	5.000	881.13	Various	816.56	...	64.57	Total of 5 transactions
11/17/20	1.000	197.69	11/16/20	202.36	4.67 W	0.00	Sale <sup>25</sup>
2 transactions for 11/25/20. Total proceeds and cost reported to the IRS.							
	1.000	217.08	11/18/20	224.21	...	-7.13	1 of 2 - Sale <sup>25</sup>
	1.000	217.09	11/23/20	207.25	...	9.84	2 of 2 - Sale <sup>25</sup>
11/25/20	2.000	434.17	Various	431.46	...	2.71	Total of 2 transactions
	<b>Security total:</b>	<b>2,950.21</b>		<b>2,850.93</b>	<b>8.94 W</b>	<b>108.22</b>	
CHF SOLUTIONS, INC. COMMON STO CK / CUSIP: 12542Q706 / Symbol:							
07/27/20	100.000	83.52	07/08/20	64.00	...	19.52	Sale <sup>25</sup>
CAMBER ENERGY, INC / CUSIP: 13200M508 / Symbol:							
09/03/20	100.000	49.20	08/26/20	68.89	...	-19.69	Sale <sup>25</sup>
CARNIVAL CORPORATION / CUSIP: 143658300 / Symbol:							
2 transactions for 06/10/20. Total proceeds and cost reported to the IRS.							
	5.000	104.70	04/22/20	57.65	...	47.05	1 of 2 - Sale <sup>25</sup>
	5.000	104.70	05/04/20	67.85	...	36.85	2 of 2 - Sale <sup>25</sup>
06/10/20	10.000	209.40	Various	125.50	...	83.90	Total of 2 transactions
CENTREX INC. COMMON STOCK / CUSIP: 15130G600 / Symbol:							
2 transactions for 06/05/20. Total proceeds and cost reported to the IRS.							
	1.000	2.10	06/01/20	2.78	...	-0.68	1 of 2 - Sale <sup>25</sup>
	5.000	10.50	06/03/20	9.60	...	0.90	2 of 2 - Sale <sup>25</sup>
06/05/20	6.000	12.60	Various	12.38	...	0.22	Total of 2 transactions

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Account 162621171

**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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CYTOSORBENTS CORPORATION COMMO N STOCK / CUSIP: 23283X206 / Symbol:							
3 transactions for 05/19/20. Total proceeds and cost reported to the IRS.							
	1.000	10.59	04/16/20	7.63	...	2.96	1 of 3 - Sale <sup>25</sup>
	1.000	10.59	04/17/20	7.84	...	2.75	2 of 3 - Sale <sup>25</sup>
	8.000	84.75	04/17/20	61.32	...	23.43	3 of 3 - Sale <sup>25</sup>
05/19/20	10.000	105.93	Various	76.79	...	29.14	Total of 3 transactions
DANA INCORPORATED / CUSIP: 235825205 / Symbol:							
07/27/20	10.000	126.01	06/30/20	121.00	...	5.01	Sale <sup>25</sup>
DAVIDSTEA INC. COMMON STOCK / CUSIP: 238661102 / Symbol:							
06/05/20	100.000	122.00	06/04/20	116.00	...	6.00	Sale <sup>25</sup>
DELTA AIR LINES, INC. / CUSIP: 247361702 / Symbol:							
06/10/20	1.000	31.12	05/20/20	22.60	...	8.52	Sale <sup>25</sup>
2 transactions for 08/18/20. Total proceeds and cost reported to the IRS.							
	10.000	276.59	06/25/20	276.00	...	0.59	1 of 2 - Sale <sup>25</sup>
	10.000	276.59	08/05/20	266.30	...	10.29	2 of 2 - Sale <sup>25</sup>
08/18/20	20.000	553.18	Various	542.30	...	10.88	Total of 2 transactions
3 transactions for 08/31/20. Total proceeds and cost reported to the IRS.							
	1.000	31.46	08/19/20	28.06	...	3.40	1 of 3 - Sale <sup>25</sup>
	9.000	283.15	08/20/20	248.67	...	34.48	2 of 3 - Sale <sup>25</sup>
	10.000	314.60	08/20/20	273.00	...	41.60	3 of 3 - Sale <sup>25</sup>
08/31/20	20.000	629.21	Various	549.73	...	79.48	Total of 3 transactions
09/03/20	1.000	31.31	08/31/20	30.90	...	0.41	Sale <sup>25</sup>
2 transactions for 11/09/20. Total proceeds and cost reported to the IRS.							
	1.000	35.67	09/08/20	32.87	...	2.80	1 of 2 - Sale <sup>25</sup>
	1.000	35.66	10/13/20	31.95	...	3.71	2 of 2 - Sale <sup>25</sup>
11/09/20	2.000	71.33	Various	64.82	...	6.51	Total of 2 transactions
	<b>Security total:</b>	<b>1,316.15</b>		<b>1,210.35</b>	...	<b>105.80</b>	
DENNY'S CORPORATION COMMON STO CK / CUSIP: 24869P104 / Symbol:							
05/19/20	1.000	10.15	05/13/20	8.45	...	1.70	Sale <sup>25</sup>

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Account 162621171

**Proceeds from Broker and Barter Exchange Transactions**

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

(continued)

02/14/2021

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DIGITAL ALLY, INC. COMMON STOC K / CUSIP: 25382P208 / Symbol:							
06/08/20	20.000	89.80	06/05/20	50.00	...	39.80	Sale <sup>25</sup>
DIREXION DAILY S&P OIL & GAS E XP. & PROD. BULL 2X SHARES / CUSIP: 25460G500 / Symbol:							
<i>2 transactions for 06/10/20. Total proceeds and cost reported to the IRS.</i>							
	1.000	50.40	05/12/20	38.90	...	11.50	1 of 2 - Sale <sup>25</sup>
	3.000	151.22	05/13/20	93.60	...	57.62	2 of 2 - Sale <sup>25</sup>
06/10/20	4.000	201.62	Various	132.50	...	69.12	Total of 2 transactions
07/23/20	1.000	34.39	07/10/20	28.00	...	6.39	Sale <sup>25</sup>
<i>3 transactions for 11/09/20. Total proceeds and cost reported to the IRS.</i>							
	5.000	124.23	10/02/20	99.14	...	25.09	1 of 3 - Sale <sup>25</sup>
	1.000	24.84	10/29/20	18.56	...	6.28	2 of 3 - Sale <sup>25</sup>
	1.000	24.84	10/29/20	18.56	...	6.28	3 of 3 - Sale <sup>25</sup>
11/09/20	7.000	173.91	Various	136.26	...	37.65	Total of 3 transactions
	<b>Security total:</b>	<b>409.92</b>		<b>296.76</b>	...	<b>113.16</b>	
THE WALT DISNEY COMPANY / CUSIP: 254687106 / Symbol:							
08/05/20	1.000	127.72	07/13/20	119.66	...	8.06	Sale <sup>25</sup>
EASTMAN KODAK COMPANY / CUSIP: 277461406 / Symbol:							
08/25/20	1.000	6.92	08/24/20	6.89	...	0.03	Sale <sup>25</sup>
ENSERVCO CORP. / CUSIP: 29358Y102 / Symbol:							
<i>9 transactions for 09/17/20. Total proceeds and cost reported to the IRS.</i>							
	200.000	52.38	06/08/20	52.48	...	-0.10	1 of 9 - Sale <sup>25</sup>
	300.000	78.56	06/08/20	78.60	...	-0.04	2 of 9 - Sale <sup>25</sup>
	100.000	26.19	06/10/20	21.49	...	4.70	3 of 9 - Sale <sup>25</sup>
	100.000	26.19	06/10/20	21.49	...	4.70	4 of 9 - Sale <sup>25</sup>
	100.000	26.19	06/10/20	21.49	...	4.70	5 of 9 - Sale <sup>25</sup>
	200.000	52.38	06/10/20	42.98	...	9.40	6 of 9 - Sale <sup>25</sup>
	100.000	26.19	08/06/20	18.46	...	7.73	7 of 9 - Sale <sup>25</sup>
	40.000	10.47	08/10/20	7.33	...	3.14	8 of 9 - Sale <sup>25</sup>
	70.000	18.33	08/27/20	10.10	...	8.23	9 of 9 - Sale <sup>25</sup>
09/17/20	1,210.000	316.88	Various	274.42	...	42.46	Total of 9 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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FACEBOOK, INC. CLASS A COMMON STOCK / CUSIP: 30303M102 / Symbol:							
08/25/20	1.000	276.42	08/21/20	267.00	...	9.42	Sale <sup>25</sup>
08/27/20	1.000	300.00	08/26/20	302.78	...	-2.78	Sale <sup>25</sup>
	<b>Security total:</b>	<b>576.42</b>		<b>569.78</b>	...	<b>6.64</b>	
FINSERV ACQUISITION CORP. CLAS S A COMMON STOCK / CUSIP: 318085107 / Symbol:							
07/23/20	10.000	101.90	06/11/20	97.30	...	4.60	Sale <sup>25</sup>
FORD MOTOR COMPANY / CUSIP: 345370860 / Symbol:							
	3 transactions for 06/10/20. Total proceeds and cost reported to the IRS.						
	2.000	13.91	04/16/20	9.89	...	4.02	1 of 3 - Sale <sup>25</sup>
	2.000	13.91	04/21/20	9.74	...	4.17	2 of 3 - Sale <sup>25</sup>
	6.000	41.71	04/29/20	32.93	...	8.78	3 of 3 - Sale <sup>25</sup>
06/10/20	10.000	69.53	Various	52.56	...	16.97	Total of 3 transactions
FORTRESS VALUE ACQUISITION COR P. / CUSIP: 34962V106 / Symbol:							
07/23/20	30.000	420.60	07/21/20	360.00	...	60.60	Sale <sup>25</sup>
GENERAL ELECTRIC COMPANY / CUSIP: 369604103 / Symbol:							
	6 transactions for 06/10/20. Total proceeds and cost reported to the IRS.						
	1.000	7.73	04/16/20	6.33	...	1.40	1 of 6 - Sale <sup>25</sup>
	4.000	30.93	04/17/20	26.27	...	4.66	2 of 6 - Sale <sup>25</sup>
	5.000	38.66	04/22/20	32.08	...	6.58	3 of 6 - Sale <sup>25</sup>
	1.000	7.73	04/24/20	6.32	...	1.41	4 of 6 - Sale <sup>25</sup>
	4.000	30.93	04/29/20	26.91	...	4.02	5 of 6 - Sale <sup>25</sup>
	5.000	38.67	04/29/20	33.43	...	5.24	6 of 6 - Sale <sup>25</sup>
06/10/20	20.000	154.65	Various	131.34	...	23.31	Total of 6 transactions
07/23/20	50.000	351.00	06/25/20	326.75	...	24.25	Sale <sup>25</sup>
	2 transactions for 08/06/20. Total proceeds and cost reported to the IRS.						
	25.000	159.83	07/30/20	157.75	...	2.08	1 of 2 - Sale <sup>25</sup>
	25.000	159.82	08/04/20	154.25	...	5.57	2 of 2 - Sale <sup>25</sup>
08/06/20	50.000	319.65	Various	312.00	...	7.65	Total of 2 transactions
	<b>Security total:</b>	<b>825.30</b>		<b>770.09</b>	...	<b>55.21</b>	
GEOVAX LABS, INC. COMMON STOCK / CUSIP: 373678507 / Symbol:							
12/10/20	1.000	4.22	12/09/20	5.91	...	-1.69	Sale <sup>25</sup>

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Robinhood Securities LLC

Account 162621171

**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
GEVO, INC. COMMON STOCK / CUSIP: 374396406 / Symbol:							
3 transactions for 08/21/20. Total proceeds and cost reported to the IRS.							
	20.000	30.80	08/20/20	29.80	...	1.00	1 of 3 - Sale <sup>25</sup>
	100.000	153.99	08/20/20	100.99	...	53.00	2 of 3 - Sale <sup>25</sup>
	100.000	153.98	08/20/20	90.00	...	63.98	3 of 3 - Sale <sup>25</sup>
08/21/20	220.000	338.77	Various	220.79	...	117.98	Total of 3 transactions
GOGO INC. COMMON STOCK / CUSIP: 38046C109 / Symbol:							
7 transactions for 06/10/20. Total proceeds and cost reported to the IRS.							
	1.000	2.88	04/29/20	1.73	...	1.15	1 of 7 - Sale <sup>25</sup>
	30.000	86.45	04/29/20	51.60	...	34.85	2 of 7 - Sale <sup>25</sup>
	19.000	54.75	04/30/20	31.16	...	23.59	3 of 7 - Sale <sup>25</sup>
	50.000	144.09	04/30/20	82.00	...	62.09	4 of 7 - Sale <sup>25</sup>
	1.000	2.88	05/01/20	1.58	...	1.30	5 of 7 - Sale <sup>25</sup>
	20.000	57.64	05/04/20	30.80	...	26.84	6 of 7 - Sale <sup>25</sup>
	6.000	17.29	05/07/20	8.69	...	8.60	7 of 7 - Sale <sup>25</sup>
06/10/20	127.000	365.98	Various	207.56	...	158.42	Total of 7 transactions
GRAN TIERRA ENERGY INC. / CUSIP: 38500T101 / Symbol:							
3 transactions for 12/08/20. Total proceeds and cost reported to the IRS.							
	100.000	39.33	06/08/20	63.00	...	-23.67	1 of 3 - Sale <sup>25</sup>
	100.000	39.33	08/10/20	30.97	...	8.36	2 of 3 - Sale <sup>25</sup>
	100.000	39.34	08/10/20	30.97	...	8.37	3 of 3 - Sale <sup>25</sup>
12/08/20	300.000	118.00	Various	124.94	...	-6.94	Total of 3 transactions
GROUPON, INC. COMMON STOCK / CUSIP: 399473107 / Symbol:							
7 transactions for 06/10/20. Total proceeds and cost reported to the IRS.							
	10.000	14.13	03/16/20	7.92	...	6.21	1 of 7 - Sale <sup>25</sup>
	4.000	5.65	04/06/20	3.52	...	2.13	2 of 7 - Sale <sup>25</sup>
	5.000	7.06	04/06/20	4.37	...	2.69	3 of 7 - Sale <sup>25</sup>
	5.000	7.06	04/07/20	4.50	...	2.56	4 of 7 - Sale <sup>25</sup>
	5.000	7.06	04/09/20	4.63	...	2.43	5 of 7 - Sale <sup>25</sup>
	3.000	4.24	04/13/20	2.76	...	1.48	6 of 7 - Sale <sup>25</sup>
	2.000	2.83	04/14/20	1.75	...	1.08	7 of 7 - Sale <sup>25</sup>
06/10/20	34.000	48.03	Various	29.45	...	18.58	Total of 7 transactions

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Robinhood Securities LLC

Account 162621171

## 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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HANCOCK JAFFE LABORATORIES, IN C. COMMON STOCK / CUSIP: 41015N106 / Symbol:							
08/27/20	20.000	8.50	08/25/20	9.98	...	-1.48	Sale <sup>25</sup>
HARBOR CUSTOM DEVELOPMENT, INC. COMMON STOCK / CUSIP: 41150T108 / Symbol:							
3 transactions for 08/31/20. Total proceeds and cost reported to the IRS.							
	1.000	6.91	08/28/20	7.50	...	-0.59	1 of 3 - Sale <sup>25</sup>
	1.000	6.92	08/28/20	6.10	...	0.82	2 of 3 - Sale <sup>25</sup>
	9.000	62.23	08/28/20	54.90	...	7.33	3 of 3 - Sale <sup>25</sup>
08/31/20	11.000	76.06	Various	68.50	...	7.56	Total of 3 transactions
HARMONY BIOSCIENCES HOLDINGS, INC. COMMON STOCK / CUSIP: 413197104 / Symbol:							
10 transactions for 08/20/20. Total proceeds and cost reported to the IRS.							
	10.000	349.99	08/19/20	401.00	...	-51.01	1 of 10 - Sale <sup>25</sup>
	10.000	349.99	08/19/20	396.00	...	-46.01	2 of 10 - Sale <sup>25</sup>
	9.000	314.99	08/19/20	351.90	...	-36.91	3 of 10 - Sale <sup>25</sup>
	7.000	245.00	08/19/20	266.56	...	-21.56	4 of 10 - Sale <sup>25</sup>
	5.000	175.00	08/19/20	185.25	...	-10.25	5 of 10 - Sale <sup>25</sup>
	1.000	35.00	08/19/20	39.60	...	-4.60	6 of 10 - Sale <sup>25</sup>
	1.000	35.00	08/19/20	38.50	...	-3.50	7 of 10 - Sale <sup>25</sup>
	1.000	35.00	08/19/20	38.39	...	-3.39	8 of 10 - Sale <sup>25</sup>
	1.000	35.00	08/19/20	38.08	...	-3.08	9 of 10 - Sale <sup>25</sup>
	3.000	104.99	08/20/20	105.23	...	-0.24	10 of 10 - Sale <sup>25</sup>
08/20/20	48.000	1,679.96	Various	1,860.51	...	-180.55	Total of 10 transactions
HI-CRUSH INC COMMON STOCK / CUSIP: 428337109 / Symbol:							
4 transactions for 08/19/20. Total proceeds and cost reported to the IRS.							
	100.000	1.98	06/08/20	47.25	...	-45.27	1 of 4 - Sale <sup>25</sup>
	49.000	0.98	06/08/20	23.15	...	-22.17	2 of 4 - Sale <sup>25</sup>
	1.000	0.02	06/08/20	0.47	...	-0.45	3 of 4 - Sale <sup>25</sup>
	50.000	0.99	06/12/20	16.83	...	-15.84	4 of 4 - Sale <sup>25</sup>
08/19/20	200.000	3.97	Various	87.70	...	-83.73	Total of 4 transactions

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Account 162621171

## Proceeds from Broker and Barter Exchange Transactions

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

(continued)

02/14/2021

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IDERA PHARMACEUTICALS, INC. COMMON STOCK / CUSIP: 45168K405 / Symbol:							
3 transactions for 06/08/20. Total proceeds and cost reported to the IRS.							
	1.000	1.97	05/13/20	1.97	...	0.00	1 of 3 - Sale <sup>25</sup>
	2.000	3.94	05/18/20	3.69	...	0.25	2 of 3 - Sale <sup>25</sup>
	7.000	13.79	05/19/20	12.32	...	1.47	3 of 3 - Sale <sup>25</sup>
06/08/20	10.000	19.70	Various	17.98	...	1.72	Total of 3 transactions
IMMURON LIMITED AMERICAN DEPOSITARY SHARES / CUSIP: 45254U101 / Symbol:							
07/20/20	10.000	161.64	06/12/20	90.70	...	70.94	Sale <sup>25</sup>
07/20/20	1.000	16.17	06/09/20	16.68	0.51 W	0.00	Sale <sup>25</sup>
07/23/20	1.000	13.90	07/20/20	13.46	...	0.44	Sale <sup>25</sup>
12/16/20	10.000	71.05	12/15/20	71.55	...	-0.50	Sale <sup>25</sup>
	<b>Security total:</b>	<b>262.76</b>		<b>192.39</b>	<b>0.51 W</b>	<b>70.88</b>	
INHIBRX, INC. COMMON STOCK / CUSIP: 45720L107 / Symbol:							
3 transactions for 08/19/20. Total proceeds and cost reported to the IRS.							
	25.000	596.23	08/19/20	642.00	...	-45.77	1 of 3 - Sale <sup>25</sup>
	20.000	476.98	08/19/20	500.00	...	-23.02	2 of 3 - Sale <sup>25</sup>
	5.000	119.25	08/19/20	138.40	...	-19.15	3 of 3 - Sale <sup>25</sup>
08/19/20	50.000	1,192.46	Various	1,280.40	...	-87.94	Total of 3 transactions
3 transactions for 08/19/20. Total proceeds and cost reported to the IRS.							
	20.000	476.99	08/19/20	553.62	7.66 W	-68.97	1 of 3 - Sale <sup>25</sup>
	20.000	459.98	08/19/20	500.00	40.02 W	0.00	2 of 3 - Sale <sup>25</sup>
	5.000	115.00	08/19/20	128.40	13.40 W	0.00	3 of 3 - Sale <sup>25</sup>
08/19/20	45.000	1,051.97	Various	1,182.02	61.08 W	-68.97	Total of 3 transactions
2 transactions for 08/21/20. Total proceeds and cost reported to the IRS.							
	1.000	20.20	08/19/20	25.83	...	-5.63	1 of 2 - Sale <sup>25</sup>
	1.000	20.20	08/19/20	24.99	...	-4.79	2 of 2 - Sale <sup>25</sup>
08/21/20	2.000	40.40	Various	50.82	...	-10.42	Total of 2 transactions
	<b>Security total:</b>	<b>2,284.83</b>		<b>2,513.24</b>	<b>61.08 W</b>	<b>-167.33</b>	

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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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INPIXON COMMON STOCK / CUSIP: 45790J800 / Symbol:							
3 transactions for 08/10/20. Total proceeds and cost reported to the IRS.							
	100.000	154.99	06/23/20	164.50	...	-9.51	1 of 3 - Sale <sup>25</sup>
	50.000	77.49	07/27/20	72.25	...	5.24	2 of 3 - Sale <sup>25</sup>
	50.000	77.50	07/27/20	71.75	...	5.75	3 of 3 - Sale <sup>25</sup>
08/10/20	200.000	309.98	Various	308.50	...	1.48	Total of 3 transactions
INTEL CORPORATION COMMON STOCK / CUSIP: 458140100 / Symbol:							
08/31/20	1.000	50.76	07/24/20	50.90	...	-0.14	Sale <sup>25</sup>
JUST ENERGY GROUP INC. / CUSIP: 48213W101 / Symbol:							
2 transactions for 08/31/20. Total proceeds and cost reported to the IRS.							
	100.000	37.88	07/21/20	48.30	...	-10.42	1 of 2 - Sale <sup>25</sup>
	100.000	37.88	07/21/20	48.30	...	-10.42	2 of 2 - Sale <sup>25</sup>
08/31/20	200.000	75.76	Various	96.60	...	-20.84	Total of 2 transactions
KANDI TECHNOLOGIES GROUP, INC COMMON STOCK / CUSIP: 483709101 / Symbol:							
3 transactions for 07/30/20. Total proceeds and cost reported to the IRS.							
	1.000	9.78	07/29/20	7.17	...	2.61	1 of 3 - Sale <sup>25</sup>
	9.000	88.02	07/29/20	64.53	...	23.49	2 of 3 - Sale <sup>25</sup>
	10.000	97.80	07/29/20	69.59	...	28.21	3 of 3 - Sale <sup>25</sup>
07/30/20	20.000	195.60	Various	141.29	...	54.31	Total of 3 transactions
KINGOLD JEWELRY INC. / CUSIP: 49579A303 / Symbol:							
3 transactions for 08/10/20. Total proceeds and cost reported to the IRS.							
	40.000	24.46	07/23/20	28.40	...	-3.94	1 of 3 - Sale <sup>25</sup>
	10.000	6.12	07/23/20	7.50	...	-1.38	2 of 3 - Sale <sup>25</sup>
	50.000	30.58	07/27/20	33.25	...	-2.67	3 of 3 - Sale <sup>25</sup>
08/10/20	100.000	61.16	Various	69.15	...	-7.99	Total of 3 transactions
KITOV PHARMA LTD. AMERICAN DEP OSITARY SHARES / CUSIP: 49803V107 / Symbol:							
06/22/20	100.000	75.99	06/05/20	47.10	...	28.89	Sale <sup>25</sup>
08/04/20	100.000	85.79	07/29/20	82.98	...	2.81	Sale <sup>25</sup>
	<b>Security total:</b>	<b>161.78</b>		<b>130.08</b>	...	<b>31.70</b>	

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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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LATAM AIRLS GROUP S A AMERICAN DEPOSITARY SHARES - SPONSORED / CUSIP: 51817R106 / Symbol:							
06/08/20	1.000	2.49	06/02/20	1.54	...	0.95	Sale <sup>25</sup>
LIBERTY TRIPADVISOR HOLDINGS, INC. SERIES A COMMON STOCK / CUSIP: 531465102 / Symbol:							
<i>6 transactions for 06/05/20. Total proceeds and cost reported to the IRS.</i>							
	1.000	3.73	04/15/20	2.39	...	1.34	1 of 6 - Sale <sup>25</sup>
	2.000	7.46	04/15/20	5.08	...	2.38	2 of 6 - Sale <sup>25</sup>
	2.000	7.46	04/15/20	4.99	...	2.47	3 of 6 - Sale <sup>25</sup>
	5.000	18.65	04/15/20	13.60	...	5.05	4 of 6 - Sale <sup>25</sup>
	5.000	18.65	04/15/20	13.40	...	5.25	5 of 6 - Sale <sup>25</sup>
	35.000	130.57	04/15/20	104.48	...	26.09	6 of 6 - Sale <sup>25</sup>
06/05/20	50.000	186.52	Various	143.94	...	42.58	Total of 6 transactions
LIPOCINE INC. COMMON STOCK / CUSIP: 53630X104 / Symbol:							
07/20/20	50.000	68.50	06/23/20	60.00	...	8.50	Sale <sup>25</sup>
MGM RESORTS INTERNATIONAL / CUSIP: 552953101 / Symbol:							
08/10/20	10.000	215.10	07/01/20	174.18	...	40.92	Sale <sup>25</sup>
MATINAS BIOPHARMA HOLDINGS, IN C. / CUSIP: 576810105 / Symbol:							
<i>5 transactions for 06/10/20. Total proceeds and cost reported to the IRS.</i>							
	18.000	15.75	05/12/20	13.85	...	1.90	1 of 5 - Sale <sup>25</sup>
	35.000	30.62	05/13/20	25.83	...	4.79	2 of 5 - Sale <sup>25</sup>
	1.000	0.87	05/18/20	0.80	...	0.07	3 of 5 - Sale <sup>25</sup>
	20.000	17.50	05/20/20	17.39	...	0.11	4 of 5 - Sale <sup>25</sup>
	100.000	87.49	06/02/20	89.91	...	-2.42	5 of 5 - Sale <sup>25</sup>
06/10/20	174.000	152.23	Various	147.78	...	4.45	Total of 5 transactions
MECHEL PAO AMERICAN DEPOSITARY SHARES (EACH REPRESENTING ONE -HALF OF A PREFERRED SHARE) / CUSIP: 583840509 / Symbol:							
<i>13 transactions for 06/08/20. Total proceeds and cost reported to the IRS.</i>							
	1.000	0.53	04/22/20	0.70	...	-0.17	1 of 13 - Sale <sup>25</sup>
	9.000	4.77	04/23/20	6.12	...	-1.35	2 of 13 - Sale <sup>25</sup>
	5.000	2.65	04/24/20	3.00	...	-0.35	3 of 13 - Sale <sup>25</sup>
	4.000	2.12	04/24/20	2.14	...	-0.02	4 of 13 - Sale <sup>25</sup>
	6.000	3.18	04/29/20	2.82	...	0.36	5 of 13 - Sale <sup>25</sup>
	1.000	0.53	05/01/20	0.46	...	0.07	6 of 13 - Sale <sup>25</sup>

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Account 162621171

## Proceeds from Broker and Barter Exchange Transactions

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

(continued)

02/14/2021

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MECHEL PAO AMERICAN DEPOSITARY SHARES (EACH REPRESENTING ONE -HALF OF A PREFERRED SHARE) / CUSIP: 583840509 / Symbol: (cont'd)							
	5.000	2.65	05/01/20	2.10	...	0.55	7 of 13 - Sale <sup>25</sup>
	15.000	7.96	05/01/20	6.44	...	1.52	8 of 13 - Sale <sup>25</sup>
	24.000	12.73	05/01/20	10.99	...	1.74	9 of 13 - Sale <sup>25</sup>
	100.000	53.06	05/01/20	46.00	...	7.06	10 of 13 - Sale <sup>25</sup>
	1.000	0.53	05/04/20	0.42	...	0.11	11 of 13 - Sale <sup>25</sup>
	2.000	1.06	05/04/20	0.84	...	0.22	12 of 13 - Sale <sup>25</sup>
	3.000	1.60	05/07/20	1.29	...	0.31	13 of 13 - Sale <sup>25</sup>
06/08/20	176.000	93.37	Various	83.32	...	10.05	Total of 13 transactions
MEDIGUS LTD. AMERICAN DEPOSITARY SHARES / CUSIP: 58471G300 / Symbol:							
4 transactions for 11/23/20. Total proceeds and cost reported to the IRS.							
	4.000	15.64	11/23/20	12.52	...	3.12	1 of 4 - Sale <sup>25</sup>
	6.000	23.46	11/23/20	18.78	...	4.68	2 of 4 - Sale <sup>25</sup>
	30.000	117.30	11/23/20	112.20	...	5.10	3 of 4 - Sale <sup>25</sup>
	10.000	39.10	11/23/20	32.95	...	6.15	4 of 4 - Sale <sup>25</sup>
11/23/20	50.000	195.50	Various	176.45	...	19.05	Total of 4 transactions
MICROVISION, INC. COMMON STOCK / CUSIP: 594960304 / Symbol:							
06/09/20	50.000	60.50	06/08/20	52.00	...	8.50	Sale <sup>25</sup>
MINERVA NEUROSCIENCES, INC COMMON STOCK / CUSIP: 603380106 / Symbol:							
12/07/20	5.000	13.40	12/04/20	12.65	...	0.75	Sale <sup>25</sup>
MODERNA, INC. COMMON STOCK / CUSIP: 60770K107 / Symbol:							
05/01/20	1.000	48.01	03/17/20	28.46	...	19.55	Sale <sup>25</sup>
5 transactions for 07/20/20. Total proceeds and cost reported to the IRS.							
	1.000	84.73	05/19/20	74.29	...	10.44	1 of 5 - Sale <sup>25</sup>
	1.000	84.73	05/20/20	69.85	...	14.88	2 of 5 - Sale <sup>25</sup>
	1.000	84.73	05/20/20	68.55	...	16.18	3 of 5 - Sale <sup>25</sup>
	2.000	169.45	06/15/20	131.90	...	37.55	4 of 5 - Sale <sup>25</sup>
	1.000	84.72	07/09/20	64.81	...	19.91	5 of 5 - Sale <sup>25</sup>
07/20/20	6.000	508.36	Various	409.40	...	98.96	Total of 5 transactions
12 transactions for 11/09/20. Total proceeds and cost reported to the IRS.							
	1.000	77.55	08/05/20	75.85	...	1.70	1 of 12 - Sale <sup>25</sup>
	1.000	77.55	08/11/20	67.68	...	9.87	2 of 12 - Sale <sup>25</sup>

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Robinhood Securities LLC

Account 162621171

**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
MODERNA, INC. COMMON STOCK / CUSIP: 60770K107 / Symbol: (cont'd)							
	2.000	155.09	08/12/20	138.26	...	16.83	3 of 12 - Sale <sup>25</sup>
	2.000	155.10	08/12/20	137.35	...	17.75	4 of 12 - Sale <sup>25</sup>
	4.000	310.19	08/12/20	291.40	...	18.79	5 of 12 - Sale <sup>25</sup>
	1.000	77.55	08/21/20	66.41	...	11.14	6 of 12 - Sale <sup>25</sup>
	1.000	77.55	08/24/20	64.39	...	13.16	7 of 12 - Sale <sup>25</sup>
	3.000	232.64	09/02/20	190.92	...	41.72	8 of 12 - Sale <sup>25</sup>
	1.000	77.55	09/22/20	68.71	...	8.84	9 of 12 - Sale <sup>25</sup>
	1.000	77.55	10/22/20	69.91	...	7.64	10 of 12 - Sale <sup>25</sup>
	1.000	77.54	11/03/20	67.93	...	9.61	11 of 12 - Sale <sup>25</sup>
	1.000	77.55	11/03/20	66.96	...	10.59	12 of 12 - Sale <sup>25</sup>
11/09/20	19.000	1,473.41	Various	1,305.77	...	167.64	Total of 12 transactions
11/09/20	5.000	387.74	07/27/20	390.65	2.91 W	0.00	Sale <sup>25</sup>
	2 transactions for 11/16/20. Total proceeds and cost reported to the IRS.						
	1.000	96.76	11/12/20	87.35	...	9.41	1 of 2 - Sale <sup>25</sup>
	1.000	96.77	11/13/20	90.49	...	6.28	2 of 2 - Sale <sup>25</sup>
11/16/20	2.000	193.53	Various	177.84	...	15.69	Total of 2 transactions
11/17/20	2.000	186.87	11/16/20	199.07	12.20 W	0.00	Sale <sup>25</sup>
	2 transactions for 11/23/20. Total proceeds and cost reported to the IRS.						
	1.000	98.84	11/19/20	94.52	...	4.32	1 of 2 - Sale <sup>25</sup>
	2.000	197.68	11/19/20	186.57	...	11.11	2 of 2 - Sale <sup>25</sup>
11/23/20	3.000	296.52	Various	281.09	...	15.43	Total of 2 transactions
11/23/20	2.000	197.68	11/19/20	198.78	1.10 W	0.00	Sale <sup>25</sup>
	9 transactions for 12/01/20. Total proceeds and cost reported to the IRS.						
	1.000	155.36	11/23/20	100.25	...	55.11	1 of 9 - Sale <sup>25</sup>
	1.000	155.36	11/24/20	99.63	...	55.73	2 of 9 - Sale <sup>25</sup>
	1.000	155.36	11/24/20	99.07	...	56.29	3 of 9 - Sale <sup>25</sup>
	1.000	155.36	11/24/20	98.73	...	56.63	4 of 9 - Sale <sup>25</sup>
	1.000	155.35	11/24/20	98.11	...	57.24	5 of 9 - Sale <sup>25</sup>
	1.000	155.35	11/25/20	108.93	...	46.42	6 of 9 - Sale <sup>25</sup>
	5.000	776.78	11/25/20	523.70	...	253.08	7 of 9 - Sale <sup>25</sup>
	1.000	155.36	11/27/20	118.96	...	36.40	8 of 9 - Sale <sup>25</sup>
	3.000	466.06	11/27/20	367.88	...	98.18	9 of 9 - Sale <sup>25</sup>
12/01/20	15.000	2,330.34	Various	1,615.26	...	715.08	Total of 9 transactions

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Account 162621171

**Proceeds from Broker and Barter Exchange Transactions**

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

(continued)

02/14/2021

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MODERNA, INC. COMMON STOCK / CUSIP: 60770K107 / Symbol: (cont'd)							
<i>13 transactions for 12/01/20. Total proceeds and cost reported to the IRS.</i>							
	1.000	131.10	12/01/20	156.20	25.10 W	0.00	1 of 13 - Sale <sup>25</sup>
	1.000	131.10	12/01/20	155.69	24.59 W	0.00	2 of 13 - Sale <sup>25</sup>
	1.000	131.10	12/01/20	155.55	24.45 W	0.00	3 of 13 - Sale <sup>25</sup>
	2.000	262.20	12/01/20	310.46	48.26 W	0.00	4 of 13 - Sale <sup>25</sup>
	1.000	131.10	12/01/20	158.39	27.29 W	0.00	5 of 13 - Sale <sup>25</sup>
	1.000	131.10	12/01/20	161.68	30.58 W	0.00	6 of 13 - Sale <sup>25</sup>
	1.000	131.10	12/01/20	161.68	30.58 W	0.00	7 of 13 - Sale <sup>25</sup>
	1.000	131.10	12/01/20	156.88	25.78 W	0.00	8 of 13 - Sale <sup>25</sup>
	1.000	131.10	12/01/20	155.16	24.06 W	0.00	9 of 13 - Sale <sup>25</sup>
	1.000	131.10	12/01/20	145.25	14.15 W	0.00	10 of 13 - Sale <sup>25</sup>
	1.000	131.10	12/01/20	140.75	9.65 W	0.00	11 of 13 - Sale <sup>25</sup>
	1.000	131.11	12/01/20	143.32	12.21 W	0.00	12 of 13 - Sale <sup>25</sup>
	1.000	131.10	12/01/20	135.75	4.65 W	0.00	13 of 13 - Sale <sup>25</sup>
12/01/20	14.000	1,835.41	Various	2,136.76	301.35 W	0.00	Total of 13 transactions
12/07/20	1.000	162.86	12/01/20	158.41	...	4.45	Sale <sup>25</sup>
<i>3 transactions for 12/07/20. Total proceeds and cost reported to the IRS.</i>							
	1.000	162.86	12/01/20	165.70	2.84 W	0.00	1 of 3 - Sale <sup>25</sup>
	1.000	162.86	12/01/20	165.56	2.70 W	0.00	2 of 3 - Sale <sup>25</sup>
	2.000	325.72	12/02/20	337.52	11.80 W	0.00	3 of 3 - Sale <sup>25</sup>
12/07/20	4.000	651.44	Various	668.78	17.34 W	0.00	Total of 3 transactions
	<b>Security total:</b>	<b>8,272.17</b>		<b>7,570.27</b>	<b>334.90 W</b>	<b>1,036.80</b>	
NETFLIX, INC. COMMON STOCK / CUSIP: 64110L106 / Symbol:							
<i>3 transactions for 09/02/20. Total proceeds and cost reported to the IRS.</i>							
	1.000	540.04	08/14/20	480.99	...	59.05	1 of 3 - Sale <sup>25</sup>
	1.000	540.04	08/17/20	484.44	...	55.60	2 of 3 - Sale <sup>25</sup>
	1.000	540.05	08/20/20	494.06	...	45.99	3 of 3 - Sale <sup>25</sup>
09/02/20	3.000	1,620.13	Various	1,459.49	...	160.64	Total of 3 transactions
10/07/20	1.000	535.75	09/02/20	543.96	...	-8.21	Sale <sup>25</sup>
	<b>Security total:</b>	<b>2,155.88</b>		<b>2,003.45</b>	<b>...</b>	<b>152.43</b>	

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Account 162621171

**Proceeds from Broker and Barter Exchange Transactions**

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

(continued)

02/14/2021

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NIKOLA CORPORATION COMMON STOC K / CUSIP: 654110105 / Symbol:							
<i>9 transactions for 09/08/20. Total proceeds and cost reported to the IRS.</i>							
	1.000	50.90	06/26/20	69.20	...	-18.30	1 of 9 - Sale <sup>25</sup>
	1.000	50.90	06/26/20	64.35	...	-13.45	2 of 9 - Sale <sup>25</sup>
	2.000	101.80	07/27/20	67.10	...	34.70	3 of 9 - Sale <sup>25</sup>
	1.000	50.90	07/28/20	33.70	...	17.20	4 of 9 - Sale <sup>25</sup>
	1.000	50.90	08/03/20	36.68	...	14.22	5 of 9 - Sale <sup>25</sup>
	1.000	50.90	09/03/20	36.30	...	14.60	6 of 9 - Sale <sup>25</sup>
	1.000	50.90	09/03/20	36.25	...	14.65	7 of 9 - Sale <sup>25</sup>
	1.000	50.89	09/04/20	33.32	...	17.57	8 of 9 - Sale <sup>25</sup>
	2.000	101.79	09/04/20	73.44	...	28.35	9 of 9 - Sale <sup>25</sup>
09/08/20	11.000	559.88	Various	450.34	...	109.54	Total of 9 transactions
<i>2 transactions for 09/08/20. Total proceeds and cost reported to the IRS.</i>							
	3.000	152.70	06/24/20	214.92	41.48 W	-20.74	1 of 2 - Sale <sup>25</sup>
	2.000	101.80	06/24/20	143.50	41.70 W	0.00	2 of 2 - Sale <sup>25</sup>
09/08/20	5.000	254.50	Various	358.42	83.18 W	-20.74	Total of 2 transactions
<i>2 transactions for 09/21/20. Total proceeds and cost reported to the IRS.</i>							
	1.000	28.11	09/10/20	60.28	...	-32.17	1 of 2 - Sale <sup>25</sup>
	1.000	28.11	09/11/20	52.62	...	-24.51	2 of 2 - Sale <sup>25</sup>
09/21/20	2.000	56.22	Various	112.90	...	-56.68	Total of 2 transactions
10/07/20	2.000	49.12	10/01/20	88.19	...	-39.07	Sale <sup>25</sup>
	<b>Security total:</b>	<b>919.72</b>		<b>1,009.85</b>	<b>83.18 W</b>	<b>-6.95</b>	
9F INC. AMERICAN DEPOSITARY SH ARES / CUSIP: 65442R109 / Symbol:							
<i>2 transactions for 08/05/20. Total proceeds and cost reported to the IRS.</i>							
	100.000	209.99	07/29/20	214.50	...	-4.51	1 of 2 - Sale <sup>25</sup>
	100.000	209.99	07/29/20	205.98	...	4.01	2 of 2 - Sale <sup>25</sup>
08/05/20	200.000	419.98	Various	420.48	...	-0.50	Total of 2 transactions
NOKIA CORPORATION / CUSIP: 654902204 / Symbol:							
10/20/20	2.000	8.43	10/19/20	8.43	...	0.00	Sale <sup>25</sup>
NORTHERN DYNASTY MINERALS, LTD . / CUSIP: 66510M204 / Symbol:							
07/23/20	99.000	227.20	07/15/20	141.08	...	86.12	Sale <sup>25</sup>

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

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NOVAN, INC. COMMON STOCK / CUSIP: 66988N106 / Symbol:							
5 transactions for 07/27/20. Total proceeds and cost reported to the IRS.							
	100.000	98.42	07/21/20	123.00	...	-24.58	1 of 5 - Sale <sup>25</sup>
	50.000	49.21	07/22/20	45.45	...	3.76	2 of 5 - Sale <sup>25</sup>
	50.000	49.21	07/23/20	43.32	...	5.89	3 of 5 - Sale <sup>25</sup>
	100.000	98.42	07/24/20	89.48	...	8.94	4 of 5 - Sale <sup>25</sup>
	100.000	98.41	07/24/20	86.00	...	12.41	5 of 5 - Sale <sup>25</sup>
07/27/20	400.000	393.67	Various	387.25	...	6.42	Total of 5 transactions
NOVAVAX, INC. COMMON STOCK / CUSIP: 670002401 / Symbol:							
06/01/20	1.000	52.55	05/12/20	41.50	...	11.05	Sale <sup>25</sup>
8 transactions for 11/25/20. Total proceeds and cost reported to the IRS.							
	1.000	101.54	08/20/20	143.04	...	-41.50	1 of 8 - Sale <sup>25</sup>
	1.000	101.54	09/03/20	113.07	...	-11.53	2 of 8 - Sale <sup>25</sup>
	1.000	101.54	09/04/20	91.81	...	9.73	3 of 8 - Sale <sup>25</sup>
	1.000	101.54	10/13/20	119.44	...	-17.90	4 of 8 - Sale <sup>25</sup>
	1.000	101.55	10/13/20	118.08	...	-16.53	5 of 8 - Sale <sup>25</sup>
	1.000	101.55	11/05/20	92.81	...	8.74	6 of 8 - Sale <sup>25</sup>
	1.000	101.54	11/11/20	87.48	...	14.06	7 of 8 - Sale <sup>25</sup>
	1.000	101.55	11/23/20	88.86	...	12.69	8 of 8 - Sale <sup>25</sup>
11/25/20	8.000	812.35	Various	854.59	...	-42.24	Total of 8 transactions
11/25/20	1.000	101.54	08/19/20	146.50	44.96 W	0.00	Sale <sup>25</sup>
11/30/20	1.000	135.73	11/25/20	147.14	...	-11.41	Sale <sup>25</sup>
	<b>Security total:</b>	<b>1,102.17</b>		<b>1,189.73</b>	<b>44.96 W</b>	<b>-42.60</b>	
OASIS PETROLEUM INC. COMMON ST OCK / CUSIP: 674215108 / Symbol:							
2 transactions for 06/08/20. Total proceeds and cost reported to the IRS.							
	1.000	1.96	06/05/20	0.75	...	1.21	1 of 2 - Sale <sup>25</sup>
	50.000	98.09	06/05/20	39.98	...	58.11	2 of 2 - Sale <sup>25</sup>
06/08/20	51.000	100.05	Various	40.73	...	59.32	Total of 2 transactions

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

(continued)

02/14/2021

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OCUGEN, INC. COMMON STOCK / CUSIP: 67577C105 / Symbol:							
2 transactions for 07/27/20. Total proceeds and cost reported to the IRS.							
	100.000	69.99	07/23/20	28.96	...	41.03	1 of 2 - Sale <sup>25</sup>
	700.000	489.89	07/27/20	403.76	...	86.13	2 of 2 - Sale <sup>25</sup>
07/27/20	800.000	559.88	Various	432.72	...	127.16	Total of 2 transactions
ONCONOVA THERAPEUTICS, INC. CO MMON STOCK / CUSIP: 68232V405 / Symbol:							
3 transactions for 06/08/20. Total proceeds and cost reported to the IRS.							
	3.000	1.43	05/20/20	1.12	...	0.31	1 of 3 - Sale <sup>25</sup>
	20.000	9.50	06/02/20	9.34	...	0.16	2 of 3 - Sale <sup>25</sup>
	1.000	0.47	06/03/20	0.49	...	-0.02	3 of 3 - Sale <sup>25</sup>
06/08/20	24.000	11.40	Various	10.95	...	0.45	Total of 3 transactions
5 transactions for 09/10/20. Total proceeds and cost reported to the IRS.							
	100.000	26.84	08/24/20	36.50	...	-9.66	1 of 5 - Sale <sup>25</sup>
	10.000	2.68	08/24/20	3.73	...	-1.05	2 of 5 - Sale <sup>25</sup>
	50.000	13.42	08/25/20	14.50	...	-1.08	3 of 5 - Sale <sup>25</sup>
	40.000	10.74	08/26/20	11.68	...	-0.94	4 of 5 - Sale <sup>25</sup>
	10.000	2.69	08/28/20	2.73	...	-0.04	5 of 5 - Sale <sup>25</sup>
09/10/20	210.000	56.37	Various	69.14	...	-12.77	Total of 5 transactions
	<b>Security total:</b>	<b>67.77</b>		<b>80.09</b>	...	<b>-12.32</b>	
PALANTIR TECHNOLOGIES INC. CLA SS A COMMON STOCK / CUSIP: 69608A108 / Symbol:							
6 transactions for 10/27/20. Total proceeds and cost reported to the IRS.							
	5.000	53.50	09/30/20	51.75	...	1.75	1 of 6 - Sale <sup>25</sup>
	20.000	213.99	09/30/20	206.00	...	7.99	2 of 6 - Sale <sup>25</sup>
	5.000	53.50	10/01/20	46.85	...	6.65	3 of 6 - Sale <sup>25</sup>
	5.000	53.50	10/05/20	46.70	...	6.80	4 of 6 - Sale <sup>25</sup>
	5.000	53.50	10/13/20	47.35	...	6.15	5 of 6 - Sale <sup>25</sup>
	10.000	106.99	10/14/20	93.80	...	13.19	6 of 6 - Sale <sup>25</sup>
10/27/20	50.000	534.98	Various	492.45	...	42.53	Total of 6 transactions

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**Proceeds from Broker and Barter Exchange Transactions**

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

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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
PFIZER INC. / CUSIP: 717081103 / Symbol:							
08/05/20	1.000	38.41	07/22/20	38.28	...	0.13	Sale <sup>25</sup>
<i>2 transactions for 11/09/20. Total proceeds and cost reported to the IRS.</i>							
	1.000	38.83	10/16/20	37.16	...	1.67	1 of 2 - Sale <sup>25</sup>
	10.000	388.33	10/16/20	380.15	...	8.18	2 of 2 - Sale <sup>25</sup>
11/09/20	11.000	427.16	Various	417.31	...	9.85	Total of 2 transactions
12/01/20	10.000	398.75	11/20/20	367.25	...	31.50	Sale <sup>25</sup>
<i>5 transactions for 12/09/20. Total proceeds and cost reported to the IRS.</i>							
	10.000	424.11	11/20/20	367.10	...	57.01	1 of 5 - Sale <sup>25</sup>
	10.000	424.11	11/27/20	371.97	...	52.14	2 of 5 - Sale <sup>25</sup>
	10.000	424.11	12/01/20	397.25	...	26.86	3 of 5 - Sale <sup>25</sup>
	10.000	424.11	12/01/20	395.70	...	28.41	4 of 5 - Sale <sup>25</sup>
	20.000	848.22	12/01/20	782.00	...	66.22	5 of 5 - Sale <sup>25</sup>
12/09/20	60.000	2,544.66	Various	2,314.02	...	230.64	Total of 5 transactions
12/10/20	10.000	420.20	12/09/20	415.47	...	4.73	Sale <sup>25</sup>
	<b>Security total:</b>	<b>3,829.18</b>		<b>3,552.33</b>	...	<b>276.85</b>	
POLYMET MINING CORP. / CUSIP: 731916102 / Symbol:							
07/23/20	100.000	62.23	06/16/20	42.89	...	19.34	Sale <sup>25</sup>
PROSHARES ULTRA BLOOMBERG CRUD E OIL / CUSIP: 74347Y888 / Symbol:							
<i>2 transactions for 06/10/20. Total proceeds and cost reported to the IRS.</i>							
	2.000	56.38	05/12/20	32.86	...	23.52	1 of 2 - Sale <sup>25</sup>
	2.000	56.38	05/13/20	31.64	...	24.74	2 of 2 - Sale <sup>25</sup>
06/10/20	4.000	112.76	Various	64.50	...	48.26	Total of 2 transactions
REMARK HOLDINGS, INC. COMMON S TOCK / CUSIP: 75955K102 / Symbol:							
<i>4 transactions for 12/09/20. Total proceeds and cost reported to the IRS.</i>							
	25.000	43.04	06/04/20	73.38	...	-30.34	1 of 4 - Sale <sup>25</sup>
	25.000	43.05	06/12/20	60.75	...	-17.70	2 of 4 - Sale <sup>25</sup>
	50.000	86.09	07/13/20	81.00	...	5.09	3 of 4 - Sale <sup>25</sup>
	50.000	86.09	09/02/20	59.00	...	27.09	4 of 4 - Sale <sup>25</sup>
12/09/20	150.000	258.27	Various	274.13	...	-15.86	Total of 4 transactions

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Robinhood Securities LLC

Account 162621171

**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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ROCKET COMPANIES, INC. / CUSIP: 77311W101 / Symbol:							
11 transactions for 08/19/20. Total proceeds and cost reported to the IRS.							
	1.000	20.95	08/06/20	18.00	...	2.95	1 of 11 - Sale <sup>25</sup>
	3.000	62.85	08/06/20	57.54	...	5.31	2 of 11 - Sale <sup>25</sup>
	2.000	41.90	08/06/20	36.00	...	5.90	3 of 11 - Sale <sup>25</sup>
	7.000	146.65	08/06/20	126.00	...	20.65	4 of 11 - Sale <sup>25</sup>
	10.000	209.49	08/06/20	176.90	...	32.59	5 of 11 - Sale <sup>25</sup>
	30.000	628.48	08/06/20	538.80	...	89.68	6 of 11 - Sale <sup>25</sup>
	10.000	209.50	08/11/20	206.05	...	3.45	7 of 11 - Sale <sup>25</sup>
	2.000	41.90	08/12/20	39.45	...	2.45	8 of 11 - Sale <sup>25</sup>
	3.000	62.85	08/13/20	57.66	...	5.19	9 of 11 - Sale <sup>25</sup>
	5.000	104.74	08/13/20	95.45	...	9.29	10 of 11 - Sale <sup>25</sup>
	2.000	41.90	08/14/20	38.80	...	3.10	11 of 11 - Sale <sup>25</sup>
08/19/20	75.000	1,571.21	Various	1,390.65	...	180.56	Total of 11 transactions
2 transactions for 08/19/20. Total proceeds and cost reported to the IRS.							
	10.000	209.49	08/07/20	228.20	5.61 W	-13.10	1 of 2 - Sale <sup>25</sup>
	10.000	209.49	08/07/20	231.50	22.01 W	0.00	2 of 2 - Sale <sup>25</sup>
08/19/20	20.000	418.98	Various	459.70	27.62 W	-13.10	Total of 2 transactions
08/31/20	1.000	28.32	08/19/20	23.61	...	4.71	Sale <sup>25</sup>
5 transactions for 09/02/20. Total proceeds and cost reported to the IRS.							
	4.000	133.68	08/20/20	103.62	...	30.06	1 of 5 - Sale <sup>25</sup>
	2.000	66.84	08/21/20	54.12	...	12.72	2 of 5 - Sale <sup>25</sup>
	2.000	66.84	08/24/20	60.94	...	5.90	3 of 5 - Sale <sup>25</sup>
	3.000	100.26	08/24/20	92.65	...	7.61	4 of 5 - Sale <sup>25</sup>
	1.000	33.42	08/28/20	30.44	...	2.98	5 of 5 - Sale <sup>25</sup>
09/02/20	12.000	401.04	Various	341.77	...	59.27	Total of 5 transactions
	<b>Security total:</b>	<b>2,419.55</b>		<b>2,215.73</b>	<b>27.62 W</b>	<b>231.44</b>	

SM ENERGY COMPANY / CUSIP: 78454L100 / Symbol:

6 transactions for 06/10/20. Total proceeds and cost reported to the IRS.

	2.000	10.58	04/29/20	7.26	...	3.32	1 of 6 - Sale <sup>25</sup>
	8.000	42.34	04/30/20	31.99	...	10.35	2 of 6 - Sale <sup>25</sup>
	1.000	5.29	05/01/20	3.34	...	1.95	3 of 6 - Sale <sup>25</sup>
	3.000	15.88	05/01/20	10.17	...	5.71	4 of 6 - Sale <sup>25</sup>

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Robinhood Securities LLC

Account 162621171

**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
SM ENERGY COMPANY / CUSIP: 78454L100 / Symbol: (cont'd)							
	5.000	26.46	05/01/20	17.24	...	9.22	5 of 6 - Sale <sup>25</sup>
	11.000	58.21	05/04/20	39.38	...	18.83	6 of 6 - Sale <sup>25</sup>
06/10/20	30.000	158.76	Various	109.38	...	49.38	Total of 6 transactions
SCHLUMBERGER LIMITED / CUSIP: 806857108 / Symbol:							
5 transactions for 06/10/20. Total proceeds and cost reported to the IRS.							
	1.000	21.33	03/16/20	15.47	...	5.86	1 of 5 - Sale <sup>25</sup>
	2.000	42.66	03/16/20	27.28	...	15.38	2 of 5 - Sale <sup>25</sup>
	5.000	106.66	03/17/20	70.08	...	36.58	3 of 5 - Sale <sup>25</sup>
	1.000	21.33	04/13/20	16.62	...	4.71	4 of 5 - Sale <sup>25</sup>
	1.000	21.33	04/15/20	14.19	...	7.14	5 of 5 - Sale <sup>25</sup>
06/10/20	10.000	213.31	Various	143.64	...	69.67	Total of 5 transactions
08/31/20	1.000	19.00	07/01/20	18.50	...	0.50	Sale <sup>25</sup>
3 transactions for 09/03/20. Total proceeds and cost reported to the IRS.							
	0.073	1.42	07/01/20	1.35	...	0.07	1 of 3 - Sale <sup>25</sup>
	8.927	173.18	07/01/20	165.15	...	8.03	2 of 3 - Sale <sup>25</sup>
	0.073	1.42	07/10/20	1.25	...	0.17	3 of 3 - Sale <sup>25</sup>
09/03/20	9.073	176.02	Various	167.75	...	8.27	Total of 3 transactions
11/09/20	1.000	17.73	10/09/20	16.17	...	1.56	Sale <sup>25</sup>
	<b>Security total:</b>	<b>426.06</b>		<b>346.06</b>	...	<b>80.00</b>	
SIMON PROPERTY GROUP, INC. / CUSIP: 828806109 / Symbol:							
4 transactions for 06/10/20. Total proceeds and cost reported to the IRS.							
	3.000	243.51	04/23/20	163.65	...	79.86	1 of 4 - Sale <sup>25</sup>
	7.000	568.18	04/24/20	353.98	...	214.20	2 of 4 - Sale <sup>25</sup>
	3.000	243.51	05/07/20	172.31	...	71.20	3 of 4 - Sale <sup>25</sup>
	3.000	243.50	05/13/20	150.48	...	93.02	4 of 4 - Sale <sup>25</sup>
06/10/20	16.000	1,298.70	Various	840.42	...	458.28	Total of 4 transactions
5 transactions for 09/04/20. Total proceeds and cost reported to the IRS.							
	2.000	140.72	06/29/20	127.69	...	13.03	1 of 5 - Sale <sup>25</sup>
	1.000	70.36	07/22/20	61.06	...	9.30	2 of 5 - Sale <sup>25</sup>
	0.151	10.59	07/27/20	9.10	...	1.49	3 of 5 - Sale <sup>25</sup>
	2.000	140.71	07/28/20	128.88	...	11.83	4 of 5 - Sale <sup>25</sup>

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Robinhood Securities LLC

Account 162621171

**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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SIMON PROPERTY GROUP, INC. / CUSIP: 828806109 / Symbol: (cont'd)							
	0.849	59.77	08/12/20	57.36	...	2.41	5 of 5 - Sale <sup>25</sup>
09/04/20	6.000	422.15	Various	384.09	...	38.06	Total of 5 transactions
09/04/20	5.000	351.79	06/12/20	388.75	1.11 W	-35.85	Sale <sup>25</sup>
09/08/20	0.151	10.58	08/12/20	11.27	...	-0.69	Sale <sup>25</sup>
11/09/20	1.000	74.85	10/09/20	68.23	...	6.62	Sale <sup>25</sup>
	<b>Security total:</b>	<b>2,158.07</b>		<b>1,692.76</b>	<b>1.11 W</b>	<b>466.42</b>	
SNOWFLAKE INC. / CUSIP: 833445109 / Symbol:							
3 transactions for 09/30/20. Total proceeds and cost reported to the IRS.							
	1.000	266.41	09/16/20	290.00	...	-23.59	1 of 3 - Sale <sup>25</sup>
	1.000	266.41	09/16/20	268.55	...	-2.14	2 of 3 - Sale <sup>25</sup>
	1.000	266.41	09/17/20	235.62	...	30.79	3 of 3 - Sale <sup>25</sup>
09/30/20	3.000	799.23	Various	794.17	...	5.06	Total of 3 transactions
SPIRIT AIRLINES, INC. / CUSIP: 848577102 / Symbol:							
8 transactions for 06/10/20. Total proceeds and cost reported to the IRS.							
	1.000	19.21	04/09/20	14.78	...	4.43	1 of 8 - Sale <sup>25</sup>
	1.000	19.21	04/14/20	13.98	...	5.23	2 of 8 - Sale <sup>25</sup>
	3.000	57.64	04/15/20	41.22	...	16.42	3 of 8 - Sale <sup>25</sup>
	5.000	96.06	04/17/20	66.00	...	30.06	4 of 8 - Sale <sup>25</sup>
	1.000	19.21	04/24/20	11.91	...	7.30	5 of 8 - Sale <sup>25</sup>
	4.000	76.85	04/29/20	64.35	...	12.50	6 of 8 - Sale <sup>25</sup>
	5.000	96.06	05/04/20	58.25	...	37.81	7 of 8 - Sale <sup>25</sup>
	10.000	192.11	05/13/20	82.19	...	109.92	8 of 8 - Sale <sup>25</sup>
06/10/20	30.000	576.35	Various	352.68	...	223.67	Total of 8 transactions
2 transactions for 08/31/20. Total proceeds and cost reported to the IRS.							
	10.000	180.50	08/05/20	172.27	...	8.23	1 of 2 - Sale <sup>25</sup>
	1.000	18.05	08/17/20	17.10	...	0.95	2 of 2 - Sale <sup>25</sup>
08/31/20	11.000	198.55	Various	189.37	...	9.18	Total of 2 transactions
2 transactions for 08/31/20. Total proceeds and cost reported to the IRS.							
	1.000	18.05	06/12/20	18.23	0.18 W	0.00	1 of 2 - Sale <sup>25</sup>
	10.000	180.50	06/12/20	185.10	4.60 W	0.00	2 of 2 - Sale <sup>25</sup>
08/31/20	11.000	198.55	Various	203.33	4.78 W	0.00	Total of 2 transactions
09/03/20	1.000	18.20	08/31/20	18.35	...	-0.15	Sale <sup>25</sup>

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Account 162621171

## Proceeds from Broker and Barter Exchange Transactions

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

(continued)

02/14/2021

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SPIRIT AIRLINES, INC. / CUSIP: 848577102 / Symbol: (cont'd)							
2 transactions for 11/09/20. Total proceeds and cost reported to the IRS.							
	1.000	22.39	09/24/20	15.63	...	6.76	1 of 2 - Sale <sup>25</sup>
	9.000	201.51	09/24/20	143.18	...	58.33	2 of 2 - Sale <sup>25</sup>
11/09/20	10.000	223.90	Various	158.81	...	65.09	Total of 2 transactions
	<b>Security total:</b>	<b>1,215.55</b>		<b>922.54</b>	<b>4.78 W</b>	<b>297.79</b>	
SUMO LOGIC, INC. COMMON STOCK / CUSIP: 86646P103 / Symbol:							
09/18/20	1.000	25.61	09/17/20	24.60	...	1.01	Sale <sup>25</sup>
TESLA, INC. COMMON STOCK / CUSIP: 88160R101 / Symbol:							
4 transactions for 11/09/20. Total proceeds and cost reported to the IRS.							
	1.000	449.15	09/02/20	438.00	...	11.15	1 of 4 - Sale <sup>25</sup>
	1.000	449.15	09/04/20	411.16	...	37.99	2 of 4 - Sale <sup>25</sup>
	1.000	449.15	09/08/20	339.36	...	109.79	3 of 4 - Sale <sup>25</sup>
	1.000	449.15	09/09/20	361.69	...	87.46	4 of 4 - Sale <sup>25</sup>
11/09/20	4.000	1,796.60	Various	1,550.21	...	246.39	Total of 4 transactions
6 transactions for 11/09/20. Total proceeds and cost reported to the IRS.							
	1.000	449.15	08/31/20	457.14	7.99 W	0.00	1 of 6 - Sale <sup>25</sup>
	1.000	449.15	08/31/20	456.43	7.28 W	0.00	2 of 6 - Sale <sup>25</sup>
	1.000	449.15	08/31/20	467.49	18.34 W	0.00	3 of 6 - Sale <sup>25</sup>
	1.000	449.15	08/31/20	494.39	45.24 W	0.00	4 of 6 - Sale <sup>25</sup>
	1.000	449.15	08/31/20	485.95	36.80 W	0.00	5 of 6 - Sale <sup>25</sup>
	1.000	449.15	08/31/20	485.80	36.65 W	0.00	6 of 6 - Sale <sup>25</sup>
11/09/20	6.000	2,694.90	Various	2,847.20	152.30 W	0.00	Total of 6 transactions
2 transactions for 11/17/20. Total proceeds and cost reported to the IRS.							
	1.000	453.39	11/11/20	422.58	...	30.81	1 of 2 - Sale <sup>25</sup>
	1.000	453.40	11/16/20	414.28	...	39.12	2 of 2 - Sale <sup>25</sup>
11/17/20	2.000	906.79	Various	836.86	...	69.93	Total of 2 transactions
11/19/20	1.000	502.51	11/19/20	517.28	14.77 W	0.00	Sale <sup>25</sup>
3 transactions for 11/23/20. Total proceeds and cost reported to the IRS.							
	1.000	521.23	11/23/20	558.89	37.66 W	0.00	1 of 3 - Sale <sup>25</sup>
	1.000	521.23	11/23/20	550.44	29.21 W	0.00	2 of 3 - Sale <sup>25</sup>

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Account 162621171

**Proceeds from Broker and Barter Exchange Transactions**

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

(continued)

02/14/2021

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TESLA, INC. COMMON STOCK / CUSIP: 88160R101 / Symbol: (cont'd)							
	1.000	521.24	11/23/20	555.05	33.81 W	0.00	3 of 3 - Sale <sup>25</sup>
11/23/20	3.000	1,563.70	Various	1,664.38	100.68 W	0.00	Total of 3 transactions
11/24/20	1.000	535.18	11/23/20	532.35	...	2.83	Sale <sup>25</sup>
11/25/20	1.000	549.67	11/24/20	596.36	46.69 W	0.00	Sale <sup>25</sup>
12/02/20	1.000	544.17	11/25/20	600.48	56.31 W	0.00	Sale <sup>25</sup>
12/07/20	1.000	638.39	12/01/20	613.59	...	24.80	Sale <sup>25</sup>
12/09/20	1.000	643.44	12/07/20	686.37	...	-42.93	Sale <sup>25</sup>
12/10/20	1.000	617.90	12/09/20	665.65	...	-47.75	Sale <sup>25</sup>
<b>Security total:</b>		<b>10,993.25</b>		<b>11,110.73</b>	<b>370.75 W</b>	<b>253.27</b>	
THE9 LIMITED AMERICAN DEPOSITO RY SHARES REPRESENTING THREE C LASS A ORDINARY SHARES / CUSIP: 88337K203 / Symbol:							
2 transactions for 08/05/20. Total proceeds and cost reported to the IRS.							
	100.000	80.05	06/25/20	79.00	...	1.05	1 of 2 - Sale <sup>25</sup>
	900.000	720.05	06/25/20	711.00	...	9.05	2 of 2 - Sale <sup>25</sup>
08/05/20	1,000.000	800.10	Various	790.00	...	10.10	Total of 2 transactions
2 transactions for 10/09/20. Total proceeds and cost reported to the IRS.							
	10.000	3.39	10/01/20	3.14	...	0.25	1 of 2 - Sale <sup>25</sup>
	90.000	30.52	10/02/20	28.53	...	1.99	2 of 2 - Sale <sup>25</sup>
10/09/20	100.000	33.91	Various	31.67	...	2.24	Total of 2 transactions
<b>Security total:</b>		<b>834.01</b>		<b>821.67</b>	...	<b>12.34</b>	
THERAPEUTICSMD, INC. COMMON ST OCK / CUSIP: 88338N107 / Symbol:							
2 transactions for 07/27/20. Total proceeds and cost reported to the IRS.							
	10.000	19.00	06/23/20	12.08	...	6.92	1 of 2 - Sale <sup>25</sup>
	90.000	170.99	06/23/20	108.75	...	62.24	2 of 2 - Sale <sup>25</sup>
07/27/20	100.000	189.99	Various	120.83	...	69.16	Total of 2 transactions
TORTOISE ACQUISITION CORP. CLA SS A COMMON STOCK / CUSIP: 89154L100 / Symbol:							
06/29/20	10.000	317.10	06/29/20	315.90	...	1.20	Sale <sup>25</sup>
TUESDAY MORNING CORP. COMMON S TOCK / CUSIP: 899035505 / Symbol:							
06/08/20	10.000	1.72	06/04/20	2.48	...	-0.76	Sale <sup>25</sup>

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Robinhood Securities LLC

Account 162621171

## 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
UNITED AIRLINES HOLDINGS, INC. COMMON STOCK / CUSIP: 910047109 / Symbol:							
11 transactions for 06/10/20. Total proceeds and cost reported to the IRS.							
	1.000	40.71	04/09/20	31.80	...	8.91	1 of 11 - Sale <sup>25</sup>
	1.000	40.71	04/13/20	29.94	...	10.77	2 of 11 - Sale <sup>25</sup>
	3.000	122.13	04/16/20	84.59	...	37.54	3 of 11 - Sale <sup>25</sup>
	1.000	40.71	04/20/20	27.51	...	13.20	4 of 11 - Sale <sup>25</sup>
	4.000	162.84	04/22/20	102.76	...	60.08	5 of 11 - Sale <sup>25</sup>
	1.000	40.71	04/24/20	25.67	...	15.04	6 of 11 - Sale <sup>25</sup>
	4.000	162.83	04/24/20	102.04	...	60.79	7 of 11 - Sale <sup>25</sup>
	5.000	203.54	04/30/20	146.93	...	56.61	8 of 11 - Sale <sup>25</sup>
	10.000	407.09	05/04/20	245.70	...	161.39	9 of 11 - Sale <sup>25</sup>
	5.000	202.38	05/07/20	117.55	...	84.83	10 of 11 - Sale <sup>25</sup>
	5.000	202.37	05/13/20	103.20	...	99.17	11 of 11 - Sale <sup>25</sup>
06/10/20	40.000	1,626.02	Various	1,017.69	...	608.33	Total of 11 transactions
2 transactions for 06/16/20. Total proceeds and cost reported to the IRS.							
	1.000	41.32	06/12/20	37.17	...	4.15	1 of 2 - Sale <sup>25</sup>
	10.000	413.21	06/12/20	375.20	...	38.01	2 of 2 - Sale <sup>25</sup>
06/16/20	11.000	454.53	Various	412.37	...	42.16	Total of 2 transactions
3 transactions for 08/11/20. Total proceeds and cost reported to the IRS.							
	10.000	367.74	06/25/20	333.07	...	34.67	1 of 3 - Sale <sup>25</sup>
	10.000	367.74	08/05/20	338.30	...	29.44	2 of 3 - Sale <sup>25</sup>
	10.000	367.74	08/05/20	331.75	...	35.99	3 of 3 - Sale <sup>25</sup>
08/11/20	30.000	1,103.22	Various	1,003.12	...	100.10	Total of 3 transactions
7 transactions for 08/31/20. Total proceeds and cost reported to the IRS.							
	3.000	107.94	08/12/20	108.77	...	-0.83	1 of 7 - Sale <sup>25</sup>
	10.000	359.79	08/13/20	373.80	...	-14.01	2 of 7 - Sale <sup>25</sup>
	1.000	35.98	08/17/20	34.85	...	1.13	3 of 7 - Sale <sup>25</sup>
	2.000	71.96	08/17/20	69.52	...	2.44	4 of 7 - Sale <sup>25</sup>
	1.000	35.98	08/21/20	34.02	...	1.96	5 of 7 - Sale <sup>25</sup>
	2.000	71.95	08/21/20	66.36	...	5.59	6 of 7 - Sale <sup>25</sup>
	4.000	143.92	08/21/20	136.06	...	7.86	7 of 7 - Sale <sup>25</sup>
08/31/20	23.000	827.52	Various	823.38	...	4.14	Total of 7 transactions

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Robinhood Securities LLC

Account 162621171

## Proceeds from Broker and Barter Exchange Transactions

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

(continued)

02/14/2021

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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
UNITED AIRLINES HOLDINGS, INC. COMMON STOCK / CUSIP: 910047109 / Symbol: (cont'd)							
2 transactions for 08/31/20. Total proceeds and cost reported to the IRS.							
	5.000	179.90	08/11/20	184.08	4.18 W	0.00	1 of 2 - Sale <sup>25</sup>
	2.000	71.96	08/12/20	72.22	0.26 W	0.00	2 of 2 - Sale <sup>25</sup>
08/31/20	7.000	251.86	Various	256.30	4.44 W	0.00	Total of 2 transactions
09/03/20	1.000	37.23	08/31/20	36.23	...	1.00	Sale <sup>25</sup>
3 transactions for 11/09/20. Total proceeds and cost reported to the IRS.							
	1.000	40.41	09/08/20	37.88	...	2.53	1 of 3 - Sale <sup>25</sup>
	2.000	80.81	10/07/20	71.99	...	8.82	2 of 3 - Sale <sup>25</sup>
	2.000	80.82	10/15/20	68.05	...	12.77	3 of 3 - Sale <sup>25</sup>
11/09/20	5.000	202.04	Various	177.92	...	24.12	Total of 3 transactions
	<b>Security total:</b>	<b>4,502.42</b>		<b>3,727.01</b>	<b>4.44 W</b>	<b>779.85</b>	
URBAN ONE, INC. CLASS A COMMON STOCK / CUSIP: 91705J105 / Symbol:							
08/03/20	1.000	12.52	07/10/20	13.48	0.96 W	0.00	Sale <sup>25</sup>
11 transactions for 09/02/20. Total proceeds and cost reported to the IRS.							
	1.000	4.52	08/20/20	7.10	...	-2.58	1 of 11 - Sale <sup>25</sup>
	1.000	4.52	08/21/20	5.80	...	-1.28	2 of 11 - Sale <sup>25</sup>
	1.000	4.52	08/21/20	5.14	...	-0.62	3 of 11 - Sale <sup>25</sup>
	1.000	4.52	08/21/20	5.14	...	-0.62	4 of 11 - Sale <sup>25</sup>
	1.000	4.52	08/24/20	4.19	...	0.33	5 of 11 - Sale <sup>25</sup>
	1.000	4.52	08/24/20	4.18	...	0.34	6 of 11 - Sale <sup>25</sup>
	1.000	4.52	08/26/20	3.86	...	0.66	7 of 11 - Sale <sup>25</sup>
	1.000	4.52	08/27/20	4.34	...	0.18	8 of 11 - Sale <sup>25</sup>
	2.000	9.04	09/02/20	7.26	...	1.78	9 of 11 - Sale <sup>25</sup>
	10.000	45.20	09/02/20	37.90	...	7.30	10 of 11 - Sale <sup>25</sup>
	20.000	90.40	09/02/20	76.00	...	14.40	11 of 11 - Sale <sup>25</sup>
09/02/20	40.000	180.80	Various	160.91	...	19.89	Total of 11 transactions
	<b>Security total:</b>	<b>193.32</b>		<b>174.39</b>	<b>0.96 W</b>	<b>19.89</b>	
WIDEPOINT CORPORATION / CUSIP: 967590100 / Symbol:							
4 transactions for 08/04/20. Total proceeds and cost reported to the IRS.							
	100.000	73.20	07/29/20	79.00	...	-5.80	1 of 4 - Sale <sup>25</sup>
	100.000	73.20	07/29/20	73.00	...	0.20	2 of 4 - Sale <sup>25</sup>

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Account 162621171

**Proceeds from Broker and Barter Exchange Transactions**

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

(continued)

02/14/2021

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WIDEPOINT CORPORATION / CUSIP: 967590100 / Symbol: (cont'd)							
	100.000	73.20	07/29/20	70.99	...	2.21	3 of 4 - Sale <sup>25</sup>
	100.000	73.19	07/29/20	70.70	...	2.49	4 of 4 - Sale <sup>25</sup>
08/04/20	400.000	292.79	Various	293.69	...	-0.90	Total of 4 transactions
WPX ENERGY, INC. / CUSIP: 98212B103 / Symbol:							
05/26/20	1.000	5.98	05/22/20	5.87	...	0.11	Sale <sup>25</sup>
XPENG INC. AMERICAN DEPOSITARY SHARES, EACH REPRESENTING TWO CLASS A ORDINARY SHARES / CUSIP: 98422D105 / Symbol:							
3 transactions for 08/31/20. Total proceeds and cost reported to the IRS.							
	5.000	109.05	08/27/20	124.75	...	-15.70	1 of 3 - Sale <sup>25</sup>
	4.000	87.24	08/27/20	94.08	...	-6.84	2 of 3 - Sale <sup>25</sup>
	1.000	21.81	08/27/20	24.76	...	-2.95	3 of 3 - Sale <sup>25</sup>
08/31/20	10.000	218.10	Various	243.59	...	-25.49	Total of 3 transactions
ZOMEDICA PHARMACEUTICALS CORP. / CUSIP: 98979F107 / Symbol:							
7 transactions for 06/24/20. Total proceeds and cost reported to the IRS.							
	100.000	20.88	06/10/20	20.49	...	0.39	1 of 7 - Sale <sup>25</sup>
	59.000	12.31	06/11/20	10.74	...	1.57	2 of 7 - Sale <sup>25</sup>
	100.000	20.88	06/11/20	18.20	...	2.68	3 of 7 - Sale <sup>25</sup>
	100.000	20.88	06/11/20	18.20	...	2.68	4 of 7 - Sale <sup>25</sup>
	141.000	29.44	06/11/20	25.66	...	3.78	5 of 7 - Sale <sup>25</sup>
	200.000	41.76	06/11/20	36.40	...	5.36	6 of 7 - Sale <sup>25</sup>
	300.000	62.63	06/11/20	54.60	...	8.03	7 of 7 - Sale <sup>25</sup>
06/24/20	1,000.000	208.78	Various	184.29	...	24.49	Total of 7 transactions
NABORS INDUSTRIES LTD. / CUSIP: G6359F137 / Symbol:							
07/23/20	1.000	41.66	07/09/20	32.47	...	9.19	Sale <sup>25</sup>
NABRIVA THERAPEUTICS PLC ORDINARY SHARES IRELAND / CUSIP: G63637105 / Symbol:							
2 transactions for 06/10/20. Total proceeds and cost reported to the IRS.							
	10.000	8.70	06/04/20	7.90	...	0.80	1 of 2 - Sale <sup>25</sup>
	90.000	78.29	06/08/20	71.91	...	6.38	2 of 2 - Sale <sup>25</sup>
06/10/20	100.000	86.99	Various	79.81	...	7.18	Total of 2 transactions

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## Proceeds from Broker and Barter Exchange Transactions

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

(continued)

02/14/2021

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NOBLE CORP PLC COMMON STOCK / CUSIP: G65431101 / Symbol:							
3 transactions for 08/05/20. Total proceeds and cost reported to the IRS.							
	50.000	2.60	06/08/20	28.00	...	-25.40	1 of 3 - Sale <sup>25</sup>
	50.000	2.59	06/25/20	15.57	...	-12.98	2 of 3 - Sale <sup>25</sup>
	100.000	5.19	07/24/20	27.39	...	-22.20	3 of 3 - Sale <sup>25</sup>
08/05/20	200.000	10.38	Various	70.96	...	-60.58	Total of 3 transactions
OSMOTICA PHARMACEUTICALS PLC ORDINARY SHARES / CUSIP: G6S41R101 / Symbol:							
08/19/20	5.000	31.88	07/10/20	43.65	...	-11.77	Sale <sup>25</sup>
VALARIS PLC ORDINARY SHARES / CUSIP: G9402V109 / Symbol:							
06/08/20	100.000	180.00	06/05/20	54.69	...	125.31	Sale <sup>25</sup>
2 transactions for 07/30/20. Total proceeds and cost reported to the IRS.							
	100.000	42.52	06/23/20	69.00	...	-26.48	1 of 2 - Sale <sup>25</sup>
	20.000	8.51	07/10/20	10.83	...	-2.32	2 of 2 - Sale <sup>25</sup>
07/30/20	120.000	51.03	Various	79.83	...	-28.80	Total of 2 transactions
	<b>Security total:</b>	<b>231.03</b>		<b>134.52</b>	...	<b>96.51</b>	
WAH FU EDUCATION GROUP LIMITED ORDINARY SHARES / CUSIP: G94184101 / Symbol:							
07/10/20	10.000	70.40	06/12/20	53.00	...	17.40	Sale <sup>25</sup>
07/27/20	10.000	54.80	06/12/20	53.00	...	1.80	Sale <sup>25</sup>
	<b>Security total:</b>	<b>125.20</b>		<b>106.00</b>	...	<b>19.20</b>	
JFROG LTD. ORDINARY SHARES / CUSIP: M6191J100 / Symbol:							
5 transactions for 09/22/20. Total proceeds and cost reported to the IRS.							
	1.000	67.24	09/16/20	68.00	...	-0.76	1 of 5 - Sale <sup>25</sup>
	1.000	67.24	09/16/20	68.00	...	-0.76	2 of 5 - Sale <sup>25</sup>
	1.000	67.24	09/16/20	67.00	...	0.24	3 of 5 - Sale <sup>25</sup>
	1.000	67.24	09/16/20	65.70	...	1.54	4 of 5 - Sale <sup>25</sup>
	1.000	67.24	09/17/20	64.39	...	2.85	5 of 5 - Sale <sup>25</sup>
09/22/20	5.000	336.20	Various	333.09	...	3.11	Total of 5 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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CUREVAC N.V. ORDINARY SHARES / CUSIP: N2451R105 / Symbol:							
3 transactions for 08/17/20. Total proceeds and cost reported to the IRS.							
	1.000	81.92	08/14/20	53.22	...	28.70	1 of 3 - Sale <sup>25</sup>
	1.000	81.92	08/14/20	48.98	...	32.94	2 of 3 - Sale <sup>25</sup>
	1.000	81.92	08/14/20	42.25	...	39.67	3 of 3 - Sale <sup>25</sup>
08/17/20	3.000	245.76	Various	144.45	...	101.31	Total of 3 transactions
NAKED BRAND GROUP LIMITED ORDINARY SHARES / CUSIP: Q6519T117 / Symbol:							
26 transactions for 11/19/20. Total proceeds and cost reported to the IRS.							
	200.000	49.02	08/31/20	51.24	...	-2.22	1 of 26 - Sale <sup>25</sup>
	100.000	24.50	08/31/20	25.62	...	-1.12	2 of 26 - Sale <sup>25</sup>
	100.000	24.50	08/31/20	25.62	...	-1.12	3 of 26 - Sale <sup>25</sup>
	100.000	24.51	08/31/20	25.62	...	-1.11	4 of 26 - Sale <sup>25</sup>
	100.000	24.51	08/31/20	25.62	...	-1.11	5 of 26 - Sale <sup>25</sup>
	100.000	24.51	08/31/20	25.62	...	-1.11	6 of 26 - Sale <sup>25</sup>
	100.000	24.51	08/31/20	25.62	...	-1.11	7 of 26 - Sale <sup>25</sup>
	100.000	24.51	08/31/20	25.62	...	-1.11	8 of 26 - Sale <sup>25</sup>
	100.000	24.51	08/31/20	25.62	...	-1.11	9 of 26 - Sale <sup>25</sup>
	100.000	24.99	10/22/20	114.28	...	-89.29	10 of 26 - Sale <sup>25</sup>
	100.000	24.99	10/22/20	98.28	...	-73.29	11 of 26 - Sale <sup>25</sup>
	100.000	24.99	10/22/20	57.30	...	-32.31	12 of 26 - Sale <sup>25</sup>
	100.000	24.99	10/22/20	57.30	...	-32.31	13 of 26 - Sale <sup>25</sup>
	100.000	24.99	10/22/20	57.30	...	-32.31	14 of 26 - Sale <sup>25</sup>
	50.000	13.79	10/22/20	21.52	...	-7.73	15 of 26 - Sale <sup>25</sup>
	100.000	27.59	10/22/20	27.59	...	0.00	16 of 26 - Sale <sup>25</sup>
	50.000	13.80	10/22/20	11.74	...	2.06	17 of 26 - Sale <sup>25</sup>
	50.000	13.79	10/22/20	11.73	...	2.06	18 of 26 - Sale <sup>25</sup>
	50.000	13.80	10/22/20	11.69	...	2.11	19 of 26 - Sale <sup>25</sup>
	100.000	27.59	10/22/20	23.38	...	4.21	20 of 26 - Sale <sup>25</sup>
	100.000	27.59	10/22/20	23.37	...	4.22	21 of 26 - Sale <sup>25</sup>
	5.000	1.35	11/09/20	0.49	...	0.86	22 of 26 - Sale <sup>25</sup>
	95.000	25.64	11/09/20	9.41	...	16.23	23 of 26 - Sale <sup>25</sup>
	100.000	26.99	11/09/20	9.92	...	17.07	24 of 26 - Sale <sup>25</sup>
	300.000	80.96	11/09/20	29.77	...	51.19	25 of 26 - Sale <sup>25</sup>

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

(continued)

02/14/2021

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NAKED BRAND GROUP LIMITED ORDINARY SHARES / CUSIP: Q6519T117 / Symbol: (cont'd)							
11/19/20	500.000	134.94	11/09/20	49.56	...	85.38	26 of 26 - Sale <sup>25</sup>
	3,000.000	777.86	Various	870.83	...	-92.97	Total of 26 transactions
	13 transactions for 11/19/20. Total proceeds and cost reported to the IRS.						
	100.000	22.97	06/10/20	129.00	106.03 W	0.00	1 of 13 - Sale <sup>25</sup>
	100.000	22.97	06/10/20	113.00	90.03 W	0.00	2 of 13 - Sale <sup>25</sup>
	100.000	22.97	06/25/20	72.02	49.05 W	0.00	3 of 13 - Sale <sup>25</sup>
	200.000	45.94	06/25/20	144.04	98.10 W	0.00	4 of 13 - Sale <sup>25</sup>
	50.000	11.48	07/27/20	28.87	17.39 W	0.00	5 of 13 - Sale <sup>25</sup>
	100.000	22.97	08/10/20	42.31	19.34 W	0.00	6 of 13 - Sale <sup>25</sup>
	100.000	22.97	08/11/20	38.19	15.22 W	0.00	7 of 13 - Sale <sup>25</sup>
	250.000	57.42	08/11/20	95.24	37.82 W	0.00	8 of 13 - Sale <sup>25</sup>
	1,000.000	243.88	08/31/20	254.97	3.33 W	-7.76	9 of 13 - Sale <sup>25</sup>
	500.000	115.39	08/31/20	127.50	12.11 W	0.00	10 of 13 - Sale <sup>25</sup>
	5.000	1.16	08/31/20	1.28	0.12 W	0.00	11 of 13 - Sale <sup>25</sup>
	95.000	21.93	08/31/20	24.22	2.29 W	0.00	12 of 13 - Sale <sup>25</sup>
	400.000	92.27	08/31/20	102.00	9.73 W	0.00	13 of 13 - Sale <sup>25</sup>
11/19/20	3,000.000	704.32	Various	1,172.64	460.56 W	-7.76	Total of 13 transactions
	<b>Security total:</b>	<b>1,482.18</b>		<b>2,043.47</b>	<b>460.56 W</b>	<b>-100.73</b>	
SEANERGY MARITIME HOLDINGS COR P COMMON STOCK / CUSIP: Y73760301 / Symbol:							
	3 transactions for 06/25/20. Total proceeds and cost reported to the IRS.						
	200.000	56.64	06/05/20	35.60	...	21.04	1 of 3 - Sale <sup>25</sup>
	300.000	84.95	06/08/20	54.30	...	30.65	2 of 3 - Sale <sup>25</sup>
	500.000	141.59	06/12/20	85.65	...	55.94	3 of 3 - Sale <sup>25</sup>
06/25/20	1,000.000	283.18	Various	175.55	...	107.63	Total of 3 transactions
<b>Totals :</b>		<b>72,037.45</b>		<b>68,005.83</b>	<b>1,553.58 W</b>	<b>5,585.20</b>	

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

Robinhood Securities LLC

Account 162621171

## Proceeds from Broker and Barter Exchange Transactions

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

(continued)

02/14/2021

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

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

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

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

<b>1c- Date sold or disposed</b>	<b>Quantity</b>	<b>1d- Proceeds &amp; 6- Reported (G)ross or (N)et</b>	<b>1b- Date acquired</b>	<b>1e- Cost or other basis</b>	<b>1f- Accrued mkt disc (D) &amp; 1g- Wash sale loss disallowed (W)</b>	<b>7- Loss not allowed (X) also not reported (Z)</b>	<b>Gain or loss(-) &amp; Additional information</b>
GROUPON, INC. COMMON STOCK / CUSIP: 399473107 / Symbol:							
06/10/20	1.000	1.41	08/15/18	4.54	...	-3.13	Sale <sup>25</sup>
<b>Totals :</b>		<b>1.41</b>		<b>4.54</b>		<b>-3.13</b>	

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

Robinhood Securities LLC

Account 162621171

**Proceeds Not Reported to the IRS**

2020

02/14/2021

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

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

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

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

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

**Description of property**

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
JE RIGHTS / CUSIP: 482RGT016 / Symbol: 10/02/20	10.000	0.00	07/21/20	0.00	...	0.00	Gain or loss <sup>25</sup>
<b>Totals:</b>		<b>0.00</b>		<b>0.00</b>	...	<b>0.00</b>	

Robinhood Securities LLC

Account 162621171

## Detail for Dividends and Distributions

2020

02/14/2021

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

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

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

Security description	CUSIP and/or symbol	State	Date	Amount	Transaction type	Notes
APPLE INC. COMMON STOCK	037833100		11/12/20	0.82	Qualified dividend	
ASTRAZENECA PLC AMERICAN DEPOSITARY SHARES	046353108		09/14/20	0.90	Qualified dividend	
GENERAL ELECTRIC COMPANY	369604103		07/27/20	0.50	Qualified dividend	
INTEL CORPORATION COMMON STOCK	458140100		09/01/20	0.33	Qualified dividend	
PFIZER INC.	717081103		09/01/20	0.38	Qualified dividend	
			12/01/20	4.18	Qualified dividend	
				<b>4.56</b>	<b>Total Dividends &amp; distributions</b>	
SCHLUMBERGER LIMITED	806857108		07/09/20	1.25	Qualified dividend	
			10/08/20	1.13	Qualified dividend	
				<b>2.38</b>	<b>Total Dividends &amp; distributions</b>	
SIMON PROPERTY GROUP, INC.	828806109		07/24/20	8.17	Section 199A dividend	03
			07/24/20	0.69	Qualified dividend	03
			07/24/20	0.22	Long-term capital gain	03
			07/24/20	0.02	Unrecaptured section 1250 gain	03
				<b>9.10</b>	<b>Total Dividends &amp; distributions</b>	
				<b>18.59</b>	<b>Total Dividends &amp; distributions</b>	

Robinhood Securities LLC

Account 162621171

**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
		11/30/20	0.27	Interest	
		12/30/20	0.71	Interest	
		12/31/20	0.18	Interest	
			1.16	Total Interest	
			<b>1.16</b>	<b>Total Interest</b>	

Robinhood Securities LLC

Account 162621171

**Foreign Income and Taxes Summary**

2020

02/14/2021

*This schedule lists all income and foreign tax by country. Mutual Funds and Unit Investment Trusts (UITs) structured as Regulated Investment Companies (RICs) are listed separately with a country designation of "RIC."*

Country	Security Description	CUSIP	Nonqualified	Dividends		Interest	Total Income	Tax
				Qualified				
UK	ASTRAZENECA PLC AMERICAN DEPOSITARY SHARES	046353108	0.00	0.90		0.00	0.90	0.00
<b>Total UNITED KINGDOM</b>			<b>0.00</b>	<b>0.90</b>		<b>0.00</b>	<b>0.90</b>	<b>0.00</b>
<b>Grand Total</b>	<b>Total Foreign Source Income*</b>			<b>0.90</b>				
	<b>Qualified Foreign Source Income**</b>			<b>0.90</b>				
	<b>Foreign Tax</b>			<b>0.00</b>				

\* Total Foreign Source Income utilizes the "Total" column for RICs which may not always be supplied.

\*\* Qualified Foreign Source Income utilizes the "Qualified" column for RICs which may not always be supplied.



Robinhood Securities LLC

Account 162621171

**Non-Reportable Actions**

2020

02/14/2021

Security Description	CUSIP and/or symbol	Date	Quantity	Amount	Transaction type	Notes
JE RIGHTS	482RGT016	07/29/20	10.00	0.00	Stock spinoff	
		10/02/20	-10.00	0.00	Security deemed worthless	

- 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](http://www.irs.gov/Form1099DIV).

**1099-B Instructions for Recipient**

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

**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.

**Instructions for Recipient**

**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 includible 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 includible 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 includible 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](http://www.irs.gov/Form1099INT).