

Robinhood Securities LLC 500 Colonial Center Parkway Suite 100 Lake Mary, FL 32746 Customer Service: 650-940-2700 PAYER'S TIN: 38-4019216	Tax Information Account 160276473	Statement Date: 02/14/2021 Document ID: J61Z FH9 CGW8	2020
	Prudhvi Karumuri 147 Rangeway Rd 1210 Billerica, MA 01862 RECIPIENT'S TIN: XXX-XX-7419		

Summary Information

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

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

Term	Form 8949 type	Proceeds	Cost basis	Market discount	Wash sale loss disallowed	Net gain or loss(-)
Short	A (basis reported to the IRS)	192,301.84	204,355.62	0.00	5,807.95	-6,245.83
Short	B (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Short	C (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
	Total Short-term	192,301.84	204,355.62	0.00	5,807.95	-6,245.83
Long	D (basis reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Long	E (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Long	F (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
	Total Long-term	0.00	0.00	0.00	0.00	0.00
Undetermined	B or E (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Undetermined	C or F (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
	Total Undetermined-term	0.00	0.00	0.00	0.00	0.00
	Grand total	192,301.84	204,355.62	0.00	5,807.95	-6,245.83
Withholding		Amount				
	Federal income tax withheld	0.00				

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

Robinhood Securities LLC

Account 160276473

Summary Information

2020

(continued)

02/14/2021

INTEREST INCOME

2020 1099-INT

OMB No. 1545-0112

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

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	35.00
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 160276473

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
BE 08/21/2020 PUT \$16.00 / CUSIP: / Symbol:							
08/21/20	1.000	0.00	08/18/20	35.00	...	-35.00	Option expiration- long put
BLNK 01/20/2023 CALL \$10.00 / CUSIP: / Symbol:							
11/11/20	1.000	379.98	10/16/20	400.00	...	-20.02	Option sale to close-call ²⁵
BLNK 08/21/2020 PUT \$7.50 / CUSIP: / Symbol:							
07/30/20	1.000	49.98	07/30/20	50.00	...	-0.02	Option sale to close-put ²⁵
BYD 11/20/2020 CALL \$34.00 / CUSIP: / Symbol:							
11/19/20	1.000	234.98	10/23/20	250.00	...	-15.02	Option sale to close-call ²⁵
CHGG 11/20/2020 CALL \$85.00 / CUSIP: / Symbol:							
11/20/20	1.000	0.00	10/23/20	760.00	...	-760.00	Option expiration- long call

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Account 160276473

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
CLDR 09/11/2020 CALL \$11.00 / CUSIP: / Symbol: 08/04/20	1.000	133.98	07/31/20	120.00	...	13.98	Option sale to close-call ²⁵
DASH 12/24/2020 PUT \$152.50 / CUSIP: / Symbol: 12/21/20	1.000	209.98	12/17/20	790.00	...	-580.02	Option sale to close-put ²⁵
FCEL 01/21/2022 CALL \$2.00 / CUSIP: / Symbol: 11/03/20	1.000	127.98	10/16/20	130.00	...	-2.02	Option sale to close-call ²⁵
GDRX 04/16/2021 CALL \$60.00 / CUSIP: / Symbol: 12/11/20	1.000	264.98	12/10/20	264.00	...	0.98	Option sale to close-call ²⁵
GILD 05/21/2021 CALL \$62.50 / CUSIP: / Symbol: 11/19/20	1.000	349.98	10/23/20	550.00	...	-200.02	Option sale to close-call ²⁵
GILD 11/06/2020 CALL \$62.50 / CUSIP: / Symbol: 11/06/20	1.000	0.00	10/23/20	197.00	...	-197.00	Option expiration- long call
GOCO 03/19/2021 CALL \$12.50 / CUSIP: / Symbol: 12/11/20	1.000	259.98	12/10/20	235.00	...	24.98	Option sale to close-call ²⁵
GRPN 08/21/2020 PUT \$26.00 / CUSIP: / Symbol: 08/21/20	1.000	0.00	08/18/20	49.00	...	-49.00	Option expiration- long put
GRWG 08/21/2020 PUT \$15.00 / CUSIP: / Symbol: 08/21/20	1.000	0.00	08/18/20	15.00	...	-15.00	Option expiration- long put
GUSH 06/18/2021 CALL \$24.00 / CUSIP: / Symbol: 11/11/20	1.000	869.97	11/09/20	720.00	...	149.97	Option sale to close-call ²⁵
H 08/21/2020 PUT \$45.00 / CUSIP: / Symbol: 08/04/20	1.000	104.98	07/31/20	150.00	...	-45.02	Option sale to close-put ²⁵
HHC 08/21/2020 PUT \$50.00 / CUSIP: / Symbol: 08/10/20	1.000	24.98	07/31/20	180.00	...	-155.02	Option sale to close-put ²⁵
HOME 08/21/2020 PUT \$13.00 / CUSIP: / Symbol: 08/04/20	1.000	114.98	07/31/20	175.00	...	-60.02	Option sale to close-put ²⁵

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Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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

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

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

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
JD 03/19/2021 CALL \$87.50 / CUSIP: / Symbol:							
11/19/20	1.000	839.97	11/17/20	960.00	...	-120.03	Option sale to close-call ²⁵
KODK 08/21/2020 PUT \$22.50 / CUSIP: / Symbol:							
08/04/20	1.000	779.97	07/29/20	500.00	...	279.97	Option sale to close-put ²⁵
LB 05/21/2021 CALL \$40.00 / CUSIP: / Symbol:							
12/11/20	1.000	619.97	12/10/20	710.00	...	-90.03	Option sale to close-call ²⁵
LB 07/31/2020 PUT \$25.00 / CUSIP: / Symbol:							
07/31/20	1.000	73.98	07/29/20	53.00	...	20.98	Option sale to close-put ²⁵
MARA 08/21/2020 PUT \$5.00 / CUSIP: / Symbol:							
08/04/20	1.000	239.98	08/03/20	210.00	...	29.98	Option sale to close-put ²⁵
MNTA 08/21/2020 PUT \$45.00 / CUSIP: / Symbol:							
08/21/20	1.000	0.00	08/19/20	5.00	...	-5.00	Option expiration- long put
MNTA 08/21/2020 PUT \$50.00 / CUSIP: / Symbol:							
08/21/20	3.000	0.00	08/19/20	27.00	...	-27.00	Option expiration- long put
MNTA 09/18/2020 PUT \$50.00 / CUSIP: / Symbol:							
	<i>2 transactions for 08/20/20. Total proceeds and cost reported to the IRS.</i>						
	1.000	34.99	08/19/20	35.00	...	-0.01	1 of 2 - Option sale to close-put ²⁵
	1.000	34.99	08/19/20	35.00	...	-0.01	2 of 2 - Option sale to close-put ²⁵
08/20/20	2.000	69.98	Various	70.00	...	-0.02	Total of 2 transactions
MPC 08/07/2020 PUT \$38.00 / CUSIP: / Symbol:							
08/04/20	1.000	137.98	07/31/20	124.00	...	13.98	Option sale to close-put ²⁵
MRNA 02/19/2021 CALL \$160.00 / CUSIP: / Symbol:							
12/16/20	1.000	1,499.95	12/11/20	3,120.00	...	-1,620.05	Option sale to close-call ²⁵
MRNA 04/16/2021 CALL \$160.00 / CUSIP: / Symbol:							
12/10/20	1.000	3,269.91	12/07/20	4,025.00	...	-755.09	Option sale to close-call ²⁵
NIO 01/21/2022 CALL \$22.00 / CUSIP: / Symbol:							
11/13/20	1.000	2,679.93	10/01/20	925.00	...	1,754.93	Option sale to close-call ²⁵

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Account 160276473

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
NIO 01/21/2022 CALL \$42.00 / CUSIP: / Symbol: 12/01/20	1.000	2,149.94	11/16/20	1,870.00	...	279.94	Option sale to close-call ²⁵
NIO 03/19/2021 CALL \$44.00 / CUSIP: / Symbol: 12/01/20	1.000	1,509.95	11/16/20	1,230.00	...	279.95	Option sale to close-call ²⁵
NIO 04/16/2021 CALL \$47.00 / CUSIP: / Symbol: 12/01/20	1.000	1,419.95	11/19/20	1,365.00	...	54.95	Option sale to close-call ²⁵
NIO 05/21/2021 CALL \$42.00 / CUSIP: / Symbol: 11/13/20	1.000	1,444.95	11/11/20	1,210.00	...	234.95	Option sale to close-call ²⁵
NKE 04/16/2021 CALL \$135.00 / CUSIP: / Symbol: 12/21/20	1.000	1,509.95	12/17/20	1,310.00	...	199.95	Option sale to close-call ²⁵
NKE 12/24/2020 CALL \$147.00 / CUSIP: / Symbol: 12/24/20	1.000	0.00	12/21/20	206.00	...	-206.00	Option expiration- long call
NKLA 04/16/2021 CALL \$17.50 / CUSIP: / Symbol: 12/11/20	1.000	559.97	12/10/20	580.00	...	-20.03	Option sale to close-call ²⁵
OSTK 01/08/2021 CALL \$56.00 / CUSIP: / Symbol: 12/11/20	1.000	679.97	12/10/20	640.00	...	39.97	Option sale to close-call ²⁵
OSTK 03/19/2021 CALL \$55.00 / CUSIP: / Symbol: 12/11/20	1.000	1,219.96	12/11/20	1,360.00	...	-140.04	Option sale to close-call ²⁵
PINS 11/06/2020 CALL \$55.00 / CUSIP: / Symbol: 11/06/20	1.000	719.97	10/26/20	405.00	...	314.97	Option sale to close-call ²⁵
PLUG 01/21/2022 CALL \$12.00 / CUSIP: / Symbol: 10/28/20	1.000	619.97	10/01/20	565.00	...	54.97	Option sale to close-call ²⁵
QS 12/31/2020 PUT \$100.00 / CUSIP: / Symbol: 12/31/20	1.000	879.97	12/22/20	1,940.00	...	-1,060.03	Option sale to close-put ²⁵
SNE 01/15/2021 CALL \$80.00 / CUSIP: / Symbol: 10/29/20	1.000	639.97	10/23/20	289.00	...	350.97	Option sale to close-call ²⁵

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Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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

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

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

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
SPXS 11/20/2020 CALL \$6.00 / CUSIP: / Symbol:							
11/20/20	1.000	0.00	10/28/20	71.00	...	-71.00	Option expiration- long call
SPXS 11/20/2020 CALL \$8.00 / CUSIP: / Symbol:							
11/20/20	1.000	0.00	10/30/20	33.00	...	-33.00	Option expiration- long call
TUP 08/21/2020 PUT \$15.00 / CUSIP: / Symbol:							
08/04/20	1.000	224.98	07/29/20	180.00	...	44.98	Option sale to close-put ²⁵
TWTR 11/06/2020 CALL \$65.00 / CUSIP: / Symbol:							
11/06/20	1.000	0.00	10/23/20	39.00	...	-39.00	Option expiration- long call
TWTR 11/20/2020 CALL \$48.00 / CUSIP: / Symbol:							
11/20/20	1.000	0.00	10/29/20	655.00	...	-655.00	Option expiration- long call
UVXY 10/30/2020 CALL \$22.50 / CUSIP: / Symbol:							
10/30/20	1.000	14.98	10/28/20	154.00	...	-139.02	Option sale to close-call ²⁵
UVXY 11/06/2020 CALL \$22.50 / CUSIP: / Symbol:							
11/06/20	1.000	0.00	10/28/20	355.00	...	-355.00	Option expiration- long call
VBIV 08/21/2020 CALL \$4.00 / CUSIP: / Symbol:							
08/04/20	1.000	74.98	07/31/20	80.00	...	-5.02	Option sale to close-call ²⁵
VRM 04/16/2021 CALL \$30.00 / CUSIP: / Symbol:							
12/11/20	1.000	869.97	12/10/20	810.00	...	59.97	Option sale to close-call ²⁵
VXRT 08/07/2020 CALL \$9.50 / CUSIP: / Symbol:							
08/04/20	1.000	49.98	07/31/20	195.02	...	-145.04	Option sale to close-call ²⁵
08/04/20	1.000	44.98	07/31/20	120.00	75.02 W	0.00	Option sale to close-call ²⁵
	Security total:	94.96		315.02	75.02 W	-145.04	
WKHS 04/16/2021 CALL \$17.00 / CUSIP: / Symbol:							
11/09/20	1.000	514.97	11/06/20	560.00	...	-45.03	Option sale to close-call ²⁵
ZM 02/19/2021 CALL \$420.00 / CUSIP: / Symbol:							
12/07/20	1.000	4,029.90	12/01/20	5,090.00	...	-1,060.10	Option sale to close-call ²⁵

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Robinhood Securities LLC

Account 160276473

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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ZM 12/24/2020 CALL \$407.50 / CUSIP: / Symbol:							
12/24/20	1.000	0.00	12/21/20	1,130.00	...	-1,130.00	Option expiration- long call
ADMA BIOLOGICS INC COMMON STOC K / CUSIP: 000899104 / Symbol:							
<i>5 transactions for 07/31/20. Total proceeds and cost reported to the IRS.</i>							
	157.000	576.15	07/30/20	640.60	...	-64.45	1 of 5 - Sale ²⁵
	43.000	158.24	07/30/20	175.45	...	-17.21	2 of 5 - Sale ²⁵
	57.000	209.75	07/30/20	222.30	...	-12.55	3 of 5 - Sale ²⁵
	13.000	48.36	07/30/20	50.70	...	-2.34	4 of 5 - Sale ²⁵
	10.000	37.20	07/30/20	39.00	...	-1.80	5 of 5 - Sale ²⁵
07/31/20	280.000	1,029.70	Various	1,128.05	...	-98.35	Total of 5 transactions
07/31/20	220.000	818.35	07/30/20	858.00	36.05 W	-3.60	Sale ²⁵
	Security total:	1,848.05		1,986.05	36.05 W	-101.95	
AMTD INTERNATIONAL INC. / CUSIP: 00180G106 / Symbol:							
<i>2 transactions for 08/21/20. Total proceeds and cost reported to the IRS.</i>							
	6.000	35.84	08/20/20	65.10	...	-29.26	1 of 2 - Sale ²⁵
	0.450	2.72	08/20/20	4.88	...	-2.16	2 of 2 - Sale ²⁵
08/21/20	6.450	38.56	Various	69.98	...	-31.42	Total of 2 transactions
ACLARIS THERAPEUTICS, INC. COM MON STOCK / CUSIP: 00461U105 / Symbol:							
07/08/20	150.000	262.78	07/07/20	288.00	...	-25.22	Sale ²⁵
ADOBE INC. COMMON STOCK / CUSIP: 00724F101 / Symbol:							
09/16/20	1.000	484.35	09/14/20	487.45	...	-3.10	Sale ²⁵
AIM IMMUNOTECH INC. / CUSIP: 00901B105 / Symbol:							
<i>2 transactions for 07/27/20. Total proceeds and cost reported to the IRS.</i>							
	59.000	192.33	07/21/20	210.93	...	-18.60	1 of 2 - Sale ²⁵
	41.000	133.66	07/21/20	146.58	...	-12.92	2 of 2 - Sale ²⁵
07/27/20	100.000	325.99	Various	357.51	...	-31.52	Total of 2 transactions

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ALIBABA GROUP HOLDING LIMITED AMERICAN DEPOSITARY SHARES, EA CH REPRESENTS EIGHT ORDINARY S / CUSIP: 01609W102 / Symbol:							
2 transactions for 08/26/20. Total proceeds and cost reported to the IRS.							
	9.855	2,811.87	08/26/20	2,856.44	...	-44.57	1 of 2 - Sale ²⁵
	2.000	570.64	08/26/20	579.68	...	-9.04	2 of 2 - Sale ²⁵
08/26/20	11.855	3,382.51	Various	3,436.12	...	-53.61	Total of 2 transactions
ALLIANCE DATA SYSTEMS CORPORAT ION / CUSIP: 018581108 / Symbol:							
3 transactions for 04/24/20. Total proceeds and cost reported to the IRS.							
	1.000	40.97	04/22/20	36.62	...	4.35	1 of 3 - Sale ²⁵
	1.000	40.97	04/22/20	36.62	...	4.35	2 of 3 - Sale ²⁵
	4.000	163.88	04/22/20	146.48	...	17.40	3 of 3 - Sale ²⁵
04/24/20	6.000	245.82	Various	219.72	...	26.10	Total of 3 transactions
AMERICAN AIRLINES GROUP INC. C OMMON STOCK / CUSIP: 02376R102 / Symbol:							
05/13/20	20.000	184.44	05/04/20	187.77	...	-3.33	Sale ²⁵
AMNEAL PHARMACEUTICALS, INC. C LASS A COMMON STOCK / CUSIP: 03168L105 / Symbol:							
03/24/20	70.000	250.59	03/23/20	283.50	...	-32.91	Sale ²⁵
AMPLIFY ONLINE RETAIL ETF / CUSIP: 032108102 / Symbol:							
08/05/20	15.000	1,318.47	08/04/20	1,338.15	...	-19.68	Sale ²⁵
AQUESTIVE THERAPEUTICS, INC. C OMMON STOCK / CUSIP: 03843E104 / Symbol:							
2 transactions for 09/29/20. Total proceeds and cost reported to the IRS.							
	490.000	2,337.23	09/28/20	2,479.35	...	-142.12	1 of 2 - Sale ²⁵
	10.000	47.70	09/28/20	50.60	...	-2.90	2 of 2 - Sale ²⁵
09/29/20	500.000	2,384.93	Various	2,529.95	...	-145.02	Total of 2 transactions
ASTRAZENECA PLC AMERICAN DEPOS ITARY SHARES / CUSIP: 046353108 / Symbol:							
3 transactions for 08/10/20. Total proceeds and cost reported to the IRS.							
	13.576	749.11	08/07/20	753.73	...	-4.62	1 of 3 - Sale ²⁵
	0.003	0.12	08/07/20	0.14	...	-0.02	2 of 3 - Sale ²⁵
	0.013	0.73	08/07/20	0.73	...	0.00	3 of 3 - Sale ²⁵
08/10/20	13.592	749.96	Various	754.60	...	-4.64	Total of 3 transactions

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ASTRAZENECA PLC AMERICAN DEPOSITARY SHARES / CUSIP: 046353108 / Symbol: (cont'd)							
2 transactions for 08/11/20. Total proceeds and cost reported to the IRS.							
	4.000	221.32	08/07/20	222.07	...	-0.75	1 of 2 - Sale ²⁵
	0.420	23.25	08/07/20	23.33	...	-0.08	2 of 2 - Sale ²⁵
08/11/20	4.420	244.57	Various	245.40	...	-0.83	Total of 2 transactions
	Security total:	994.53		1,000.00	...	-5.47	
ATOSSA THERAPEUTICS, INC. COMMON STOCK / CUSIP: 04962H506 / Symbol:							
2 transactions for 07/27/20. Total proceeds and cost reported to the IRS.							
	25.000	95.25	07/20/20	106.75	...	-11.50	1 of 2 - Sale ²⁵
	8.000	30.48	07/20/20	32.24	...	-1.76	2 of 2 - Sale ²⁵
07/27/20	33.000	125.73	Various	138.99	...	-13.26	Total of 2 transactions
07/27/20	67.000	255.26	07/20/20	270.00	5.50 W	-9.24	Sale ²⁵
	Security total:	380.99		408.99	5.50 W	-22.50	
AZUL S.A. AMERICAN DEPOSITARY SHARES (EACH REPRESENTING THREE PREFERRED SHARES) / CUSIP: 05501U106 / Symbol:							
2 transactions for 06/01/20. Total proceeds and cost reported to the IRS.							
	50.000	424.98	05/07/20	351.42	...	73.56	1 of 2 - Sale ²⁵
	350.000	2,974.89	05/11/20	2,345.00	...	629.89	2 of 2 - Sale ²⁵
06/01/20	400.000	3,399.87	Various	2,696.42	...	703.45	Total of 2 transactions
7 transactions for 06/10/20. Total proceeds and cost reported to the IRS.							
	5.000	72.00	05/11/20	33.50	...	38.50	1 of 7 - Sale ²⁵
	35.000	503.98	05/11/20	234.50	...	269.48	2 of 7 - Sale ²⁵
	60.000	863.97	05/11/20	402.00	...	461.97	3 of 7 - Sale ²⁵
	20.000	287.99	05/13/20	129.48	...	158.51	4 of 7 - Sale ²⁵
	20.000	287.99	05/13/20	125.98	...	162.01	5 of 7 - Sale ²⁵
	30.000	431.99	05/13/20	194.23	...	237.76	6 of 7 - Sale ²⁵
	50.000	719.97	05/13/20	318.50	...	401.47	7 of 7 - Sale ²⁵
06/10/20	220.000	3,167.89	Various	1,438.19	...	1,729.70	Total of 7 transactions
	Security total:	6,567.76		4,134.61	...	2,433.15	

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(continued)

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MICROSECTORS US BIG OIL 3X LEV ERAGED ETN / CUSIP: 063679815 / Symbol:							
3 transactions for 08/28/20. Total proceeds and cost reported to the IRS.							
	100.000	287.48	08/27/20	284.00	...	3.48	1 of 3 - Sale ²⁵
	200.000	574.96	08/27/20	565.00	...	9.96	2 of 3 - Sale ²⁵
	100.000	287.48	08/27/20	276.50	...	10.98	3 of 3 - Sale ²⁵
08/28/20	400.000	1,149.92	Various	1,125.50	...	24.42	Total of 3 transactions
09/10/20	500.000	1,107.41	09/08/20	1,083.25	...	24.16	Sale ²⁵
10/01/20	1,000.000	1,381.44	09/29/20	1,576.30	...	-194.86	Sale ²⁵
	Security total:	3,638.77		3,785.05	...	-146.28	
BED BATH & BEYOND INC. COMMON STOCK / CUSIP: 075896100 / Symbol:							
03/24/20	1.000	5.19	03/19/20	4.51	...	0.68	Sale ²⁵
BERKSHIRE HILLS BANCORP, INC. / CUSIP: 084680107 / Symbol:							
06/04/20	200.000	2,359.42	06/04/20	2,408.50	...	-49.08	Sale ²⁵
BIGCOMMERCE HOLDINGS, INC. SER IES 1 COMMON STOCK / CUSIP: 08975P108 / Symbol:							
2 transactions for 08/27/20. Total proceeds and cost reported to the IRS.							
	0.064	8.85	08/26/20	7.62	...	1.23	1 of 2 - Sale ²⁵
	24.936	3,466.07	08/26/20	2,988.62	...	477.45	2 of 2 - Sale ²⁵
08/27/20	25.000	3,474.92	Various	2,996.24	...	478.68	Total of 2 transactions
09/10/20	0.031	2.63	08/26/20	3.76	...	-1.13	Sale ²⁵
	Security total:	3,477.55		3,000.00	...	477.55	
BIOCEPT, INC. COMMON STOCK / CUSIP: 09072V402 / Symbol:							
2 transactions for 07/27/20. Total proceeds and cost reported to the IRS.							
	50.000	34.72	07/17/20	34.12	...	0.60	1 of 2 - Sale ²⁵
	150.000	104.16	07/17/20	102.38	...	1.78	2 of 2 - Sale ²⁵
07/27/20	200.000	138.88	Various	136.50	...	2.38	Total of 2 transactions
4 transactions for 08/07/20. Total proceeds and cost reported to the IRS.							
	47.000	47.93	08/06/20	56.87	...	-8.94	1 of 4 - Sale ²⁵
	54.000	55.07	08/06/20	61.56	...	-6.49	2 of 4 - Sale ²⁵
	31.000	31.62	08/06/20	37.05	...	-5.43	3 of 4 - Sale ²⁵
	8.000	8.16	08/06/20	8.88	...	-0.72	4 of 4 - Sale ²⁵
08/07/20	140.000	142.78	Various	164.36	...	-21.58	Total of 4 transactions

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BIOCEPT, INC. COMMON STOCK / CUSIP: 09072V402 / Symbol: (cont'd)							
Security total:		281.66		300.86	...	-19.20	
BIONANO GENOMICS, INC. COMMON STOCK / CUSIP: 09075F107 / Symbol:							
08/07/20	400.000	339.95	08/07/20	392.00	...	-52.05	Sale ²⁵
BJ'S RESTAURANTS, INC. COMMON STOCK / CUSIP: 09180C106 / Symbol:							
04/07/20	40.000	614.78	03/24/20	487.49	...	127.29	Sale ²⁵
BOEING COMPANY / CUSIP: 097023105 / Symbol:							
2 transactions for 06/10/20. Total proceeds and cost reported to the IRS.							
	2.000	402.90	05/04/20	251.06	...	151.84	1 of 2 - Sale ²⁵
	8.000	1,608.20	05/04/20	1,004.24	...	603.96	2 of 2 - Sale ²⁵
06/10/20	10.000	2,011.10	Various	1,255.30	...	755.80	Total of 2 transactions
CO-DIAGNOSTICS, INC. COMMON STOCK / CUSIP: 189763105 / Symbol:							
04/21/20	40.000	565.98	04/20/20	588.80	...	-22.82	Sale ²⁵
COCRYSTAL PHARMA, INC. COMMON STOCK / CUSIP: 19188J300 / Symbol:							
03/24/20	350.000	241.46	03/23/20	272.55	...	-31.09	Sale ²⁵
07/27/20	100.000	194.49	07/21/20	210.00	...	-15.51	Sale ²⁵
Security total:		435.95		482.55	...	-46.60	
COREENERGY INFRASTRUCTURE TRUST, INC. (NEW) / CUSIP: 21870U502 / Symbol:							
07/16/20	30.000	266.58	07/14/20	253.32	...	13.26	Sale ²⁵
CREDIT SUISSE AG NASSAU BRH VE LOCITYSHARES DAILY 2X VIX SHOR T TERM ETN / CUSIP: 22542D258 / Symbol:							
3 transactions for 06/15/20. Total proceeds and cost reported to the IRS.							
	10.000	1,609.10	06/15/20	1,850.00	...	-240.90	1 of 3 - Sale ²⁵
	10.000	1,609.10	06/15/20	1,800.00	...	-190.90	2 of 3 - Sale ²⁵
	7.000	1,126.36	06/15/20	1,260.00	...	-133.64	3 of 3 - Sale ²⁵
06/15/20	27.000	4,344.56	Various	4,910.00	...	-565.44	Total of 3 transactions
CRESTWOOD EQUITY PARTNERS LP / CUSIP: 226344208 / Symbol:							
04/07/20	7.000	36.02	03/30/20	26.46	...	9.56	Sale ²⁵

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DAVE & BUSTER'S ENTERTAINMENT, INC. COMMON STOCK / CUSIP: 238337109 / Symbol:							
04/29/20	1.000	15.97	03/25/20	16.25	...	-0.28	Sale ²⁵
DELTA AIR LINES, INC. / CUSIP: 247361702 / Symbol:							
05/13/20	20.000	416.43	05/04/20	415.00	...	1.43	Sale ²⁵
DIREXION DAILY S&P 500 BEAR 3X SHARES / CUSIP: 25460E885 / Symbol:							
06/26/20	200.000	1,668.26	06/26/20	1,683.68	...	-15.42	Sale ²⁵
DIREXION DAILY S&P OIL & GAS E XP. & PROD. BULL 2X SHARES / CUSIP: 25460G500 / Symbol:							
06/29/20	10.000	319.60	06/26/20	317.37	...	2.23	Sale ²⁵
DIREXION DAILY JUNIOR GOLD MIN ERS INDEX BULL 2X SHARES / CUSIP: 25460G831 / Symbol:							
6 transactions for 08/20/20. Total proceeds and cost reported to the IRS.							
	0.001	0.16	08/19/20	0.16	...	0.00	1 of 6 - Sale ²⁵
	0.331	48.49	08/19/20	47.81	...	0.68	2 of 6 - Sale ²⁵
	2.961	431.84	08/19/20	428.02	...	3.82	3 of 6 - Sale ²⁵
	6.516	954.96	08/19/20	942.01	...	12.95	4 of 6 - Sale ²⁵
	1.999	292.93	08/20/20	297.08	...	-4.15	5 of 6 - Sale ²⁵
	0.485	71.12	08/20/20	72.08	...	-0.96	6 of 6 - Sale ²⁵
08/20/20	12.292	1,799.50	Various	1,787.16	...	12.34	Total of 6 transactions
DYNAVAX TECHNOLOGIES CORPORATI ON COMMON STOCK / CUSIP: 268158201 / Symbol:							
2 transactions for 07/24/20. Total proceeds and cost reported to the IRS.							
	23.000	209.53	07/21/20	231.04	...	-21.51	1 of 2 - Sale ²⁵
	12.000	109.32	07/21/20	120.36	...	-11.04	2 of 2 - Sale ²⁵
07/24/20	35.000	318.85	Various	351.40	...	-32.55	Total of 2 transactions
ELECTRAMECCANICA VEHICLES CORP . LTD. COMMON STOCK / CUSIP: 284849205 / Symbol:							
07/09/20	80.000	374.39	07/08/20	406.40	...	-32.01	Sale ²⁵
FASTLY, INC. / CUSIP: 31188V100 / Symbol:							
08/19/20	17.000	1,347.90	08/19/20	1,378.09	17.76 W	-12.43	Sale ²⁵
2 transactions for 08/25/20. Total proceeds and cost reported to the IRS.							
	8.000	656.14	08/24/20	683.25	...	-27.11	1 of 2 - Sale ²⁵

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(continued)

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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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FASTLY, INC. / CUSIP: 31188V100 / Symbol: (cont'd)							
	2.000	164.03	08/24/20	170.81	...	-6.78	2 of 2 - Sale ²⁵
08/25/20	10.000	820.17	Various	854.06	...	-33.89	Total of 2 transactions
	Security total:	2,168.07		2,232.15	17.76 W	-46.32	
FEDEX CORPORATION / CUSIP: 31428X106 / Symbol:							
09/16/20	10.000	2,481.82	09/14/20	2,371.00	...	110.82	Sale ²⁵
FINVOLUTION GROUP AMERICAN DEP OSITARY SHARES, EACH REPRESENT ING FIVE CLASS A ORDINARY SHAR / CUSIP: 31810T101 / Symbol:							
2 transactions for 08/20/20. Total proceeds and cost reported to the IRS.							
	140.000	350.13	08/20/20	410.20	...	-60.07	1 of 2 - Sale ²⁵
	7.440	18.82	08/20/20	21.80	...	-2.98	2 of 2 - Sale ²⁵
08/20/20	147.440	368.95	Various	432.00	...	-63.05	Total of 2 transactions
GENETIC TECHNOLOGIES LTD SPON SORED ADR / CUSIP: 37185R307 / Symbol:							
2 transactions for 07/24/20. Total proceeds and cost reported to the IRS.							
	53.000	215.17	07/20/20	223.93	...	-8.76	1 of 2 - Sale ²⁵
	0.368	1.50	07/20/20	1.55	...	-0.05	2 of 2 - Sale ²⁵
07/24/20	53.368	216.67	Various	225.48	...	-8.81	Total of 2 transactions
07/27/20	46.632	183.96	07/20/20	197.02	...	-13.06	Sale ²⁵
	Security total:	400.63		422.50	...	-21.87	
GILEAD SCIENCES, INC. COMMON S TOCK / CUSIP: 375558103 / Symbol:							
10/23/20	31.746	2,002.33	10/22/20	2,000.00	...	2.33	Sale ²⁵
HEAT BIOLOGICS, INC. COMMON ST OCK / CUSIP: 42237K300 / Symbol:							
2 transactions for 07/27/20. Total proceeds and cost reported to the IRS.							
	50.000	116.00	07/16/20	101.50	...	14.50	1 of 2 - Sale ²⁵
	50.000	115.99	07/21/20	150.75	...	-34.76	2 of 2 - Sale ²⁵
07/27/20	100.000	231.99	Various	252.25	...	-20.26	Total of 2 transactions

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Robinhood Securities LLC

Account 160276473

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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IBIO, INC. / CUSIP: 451033203 / Symbol:							
2 transactions for 07/28/20. Total proceeds and cost reported to the IRS.							
	90.000	384.73	07/16/20	292.50	...	92.23	1 of 2 - Sale ²⁵
	95.000	406.11	07/22/20	494.00	...	-87.89	2 of 2 - Sale ²⁵
07/28/20	185.000	790.84	Various	786.50	...	4.34	Total of 2 transactions
09/21/20	80.000	189.74	09/17/20	201.51	...	-11.77	Sale ²⁵
	Security total:	980.58		988.01	...	-7.43	
IDEANOMICS, INC. COMMON STOCK / CUSIP: 45166V106 / Symbol:							
6 transactions for 06/25/20. Total proceeds and cost reported to the IRS.							
	9.000	19.98	06/17/20	12.42	...	7.56	1 of 6 - Sale ²⁵
	52.000	115.43	06/17/20	71.76	...	43.67	2 of 6 - Sale ²⁵
	62.000	137.63	06/17/20	85.56	...	52.07	3 of 6 - Sale ²⁵
	152.000	337.41	06/17/20	209.76	...	127.65	4 of 6 - Sale ²⁵
	275.000	610.46	06/17/20	428.97	...	181.49	5 of 6 - Sale ²⁵
	225.000	499.46	06/19/20	480.38	...	19.08	6 of 6 - Sale ²⁵
06/25/20	775.000	1,720.37	Various	1,288.85	...	431.52	Total of 6 transactions
3 transactions for 06/26/20. Total proceeds and cost reported to the IRS.							
	200.000	306.01	06/26/20	384.00	77.99 W	0.00	1 of 3 - Sale ²⁵
	100.000	153.00	06/26/20	207.00	54.00 W	0.00	2 of 3 - Sale ²⁵
	100.000	153.00	06/26/20	200.00	47.00 W	0.00	3 of 3 - Sale ²⁵
06/26/20	400.000	612.01	Various	791.00	178.99 W	0.00	Total of 3 transactions
25 transactions for 07/07/20. Total proceeds and cost reported to the IRS.							
	194.000	249.27	06/29/20	486.93	237.66 W	0.00	1 of 25 - Sale ²⁵
	100.000	128.48	06/29/20	266.00	137.52 W	0.00	2 of 25 - Sale ²⁵
	6.000	7.71	06/29/20	15.06	7.35 W	0.00	3 of 25 - Sale ²⁵
	163.000	209.43	06/29/20	545.24	335.81 W	0.00	4 of 25 - Sale ²⁵
	100.000	128.48	06/29/20	259.00	130.52 W	0.00	5 of 25 - Sale ²⁵
	31.000	39.83	06/29/20	103.70	63.87 W	0.00	6 of 25 - Sale ²⁵
	100.000	128.49	06/29/20	212.00	83.51 W	0.00	7 of 25 - Sale ²⁵
	50.000	64.24	06/29/20	209.01	144.77 W	0.00	8 of 25 - Sale ²⁵
	6.000	7.71	06/29/20	20.07	12.36 W	0.00	9 of 25 - Sale ²⁵
	100.000	128.48	06/29/20	349.52	221.04 W	0.00	10 of 25 - Sale ²⁵
	4.000	5.14	06/30/20	16.35	11.21 W	0.00	11 of 25 - Sale ²⁵

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Robinhood Securities LLC

Account 160276473

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2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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IDEANOMICS, INC. COMMON STOCK / CUSIP: 45166V106 / Symbol: (cont'd)							
	70.000	89.94	07/02/20	256.20	166.26 W	0.00	12 of 25 - Sale ²⁵
	31.000	39.83	07/02/20	110.99	71.16 W	0.00	13 of 25 - Sale ²⁵
	39.000	50.11	07/02/20	139.63	89.52 W	0.00	14 of 25 - Sale ²⁵
	30.000	38.55	07/02/20	70.65	32.10 W	0.00	15 of 25 - Sale ²⁵
	100.000	128.48	07/02/20	282.52	154.04 W	0.00	16 of 25 - Sale ²⁵
	58.000	74.52	07/06/20	131.67	57.15 W	0.00	17 of 25 - Sale ²⁵
	30.000	38.55	07/06/20	129.91	91.36 W	0.00	18 of 25 - Sale ²⁵
	12.000	15.42	07/06/20	27.24	11.82 W	0.00	19 of 25 - Sale ²⁵
	20.000	25.70	07/06/20	86.71	61.01 W	0.00	20 of 25 - Sale ²⁵
	4.000	5.14	07/06/20	16.97	11.83 W	0.00	21 of 25 - Sale ²⁵
	20.000	25.70	07/06/20	76.30	50.60 W	0.00	22 of 25 - Sale ²⁵
	6.000	7.71	07/06/20	21.00	13.29 W	0.00	23 of 25 - Sale ²⁵
	100.000	128.48	07/06/20	365.04	236.56 W	0.00	24 of 25 - Sale ²⁵
	8.000	10.28	07/07/20	29.40	19.12 W	0.00	25 of 25 - Sale ²⁵
07/07/20	1,382.000	1,775.67	Various	4,227.11	2,451.44 W	0.00	Total of 25 transactions
19 transactions for 07/09/20. Total proceeds and cost reported to the IRS.							
	100.000	140.99	07/08/20	312.05	...	-171.06	1 of 19 - Sale ²⁵
	59.000	83.18	07/08/20	249.63	...	-166.45	2 of 19 - Sale ²⁵
	42.000	59.22	07/08/20	166.13	...	-106.91	3 of 19 - Sale ²⁵
	30.000	42.30	07/08/20	147.31	...	-105.01	4 of 19 - Sale ²⁵
	41.000	57.81	07/08/20	161.15	...	-103.34	5 of 19 - Sale ²⁵
	39.000	54.99	07/08/20	151.16	...	-96.17	6 of 19 - Sale ²⁵
	31.000	43.71	07/08/20	120.13	...	-76.42	7 of 19 - Sale ²⁵
	20.000	28.20	07/08/20	98.31	...	-70.11	8 of 19 - Sale ²⁵
	20.000	28.20	07/08/20	87.90	...	-59.70	9 of 19 - Sale ²⁵
	33.000	46.53	07/08/20	84.67	...	-38.14	10 of 19 - Sale ²⁵
	30.000	42.30	07/08/20	79.51	...	-37.21	11 of 19 - Sale ²⁵
	25.000	35.25	07/08/20	67.76	...	-32.51	12 of 19 - Sale ²⁵
	8.000	11.28	07/08/20	34.04	...	-22.76	13 of 19 - Sale ²⁵
	58.000	81.77	07/08/20	99.18	...	-17.41	14 of 19 - Sale ²⁵
	6.000	8.46	07/08/20	24.48	...	-16.02	15 of 19 - Sale ²⁵
	12.000	16.92	07/08/20	30.60	...	-13.68	16 of 19 - Sale ²⁵
	4.000	5.64	07/08/20	19.29	...	-13.65	17 of 19 - Sale ²⁵
	23.000	32.43	07/08/20	39.33	...	-6.90	18 of 19 - Sale ²⁵

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(continued)

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IDEANOMICS, INC. COMMON STOCK / CUSIP: 45166V106 / Symbol: (cont'd)							
07/09/20	22.000	31.02	07/08/20	37.62	...	-6.60	19 of 19 - Sale ²⁵
	603.000	850.20	Various	2,010.25	...	-1,160.05	Total of 19 transactions
	13 transactions for 07/09/20. Total proceeds and cost reported to the IRS.						
	31.000	43.71	07/08/20	115.33	71.62 W	0.00	1 of 13 - Sale ²⁵
	39.000	54.98	07/08/20	145.10	90.12 W	0.00	2 of 13 - Sale ²⁵
	42.000	59.21	07/08/20	159.61	100.40 W	0.00	3 of 13 - Sale ²⁵
	30.000	42.29	07/08/20	74.85	32.56 W	0.00	4 of 13 - Sale ²⁵
	100.000	140.99	07/08/20	296.54	155.55 W	0.00	5 of 13 - Sale ²⁵
	58.000	81.77	07/08/20	139.80	58.03 W	0.00	6 of 13 - Sale ²⁵
	20.000	28.20	07/08/20	92.31	64.11 W	0.00	7 of 13 - Sale ²⁵
	30.000	42.30	07/08/20	138.31	96.01 W	0.00	8 of 13 - Sale ²⁵
	4.000	5.64	07/08/20	18.09	12.45 W	0.00	9 of 13 - Sale ²⁵
	20.000	28.20	07/08/20	81.90	53.70 W	0.00	10 of 13 - Sale ²⁵
	8.000	11.28	07/08/20	31.64	20.36 W	0.00	11 of 13 - Sale ²⁵
	6.000	8.46	07/08/20	22.68	14.22 W	0.00	12 of 13 - Sale ²⁵
	59.000	83.17	07/08/20	231.91	148.74 W	0.00	13 of 13 - Sale ²⁵
07/09/20	447.000	630.20	Various	1,548.07	917.87 W	0.00	Total of 13 transactions
	Security total:	5,588.45		9,865.28	3,548.30 W	-728.53	
INOVIO PHARMACEUTICALS, INC. C OMMON STOCK / CUSIP: 45773H201 / Symbol:							
04/30/20	40.000	521.18	04/27/20	601.60	...	-80.42	Sale ²⁵
08/07/20	5.000	101.50	08/05/20	102.00	...	-0.50	Sale ²⁵
	3 transactions for 09/14/20. Total proceeds and cost reported to the IRS.						
	20.000	217.84	09/10/20	196.60	...	21.24	1 of 3 - Sale ²⁵
	25.000	272.30	09/11/20	254.50	...	17.80	2 of 3 - Sale ²⁵
	200.000	2,178.23	09/11/20	2,035.96	...	142.27	3 of 3 - Sale ²⁵
09/14/20	245.000	2,668.37	Various	2,487.06	...	181.31	Total of 3 transactions
	Security total:	3,291.05		3,190.66	...	100.39	
JD.COM, INC. AMERICAN DEPOSITA RY SHARES / CUSIP: 47215P106 / Symbol:							
11/16/20	40.000	3,519.12	11/13/20	3,703.60	...	-184.48	Sale ²⁵
JETBLUE AIRWAYS CORPORATION CO MMON STOCK / CUSIP: 477143101 / Symbol:							
05/13/20	20.000	156.24	05/04/20	162.56	...	-6.32	Sale ²⁵

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KANDI TECHNOLOGIES GROUP, INC COMMON STOCK / CUSIP: 483709101 / Symbol:							
07/30/20	100.000	979.96	07/29/20	762.00	...	217.96	Sale ²⁵
KAZIA THERAPEUTICS LIMITED AME RICAN DEPOSITARY SHARES / CUSIP: 48669G105 / Symbol:							
2 transactions for 08/07/20. Total proceeds and cost reported to the IRS.							
	95.000	664.97	08/07/20	754.30	...	-89.33	1 of 2 - Sale ²⁵
	5.000	35.00	08/07/20	39.70	...	-4.70	2 of 2 - Sale ²⁵
08/07/20	100.000	699.97	Various	794.00	...	-94.03	Total of 2 transactions
MARATHON PETROLEUM CORPORATION / CUSIP: 56585A102 / Symbol:							
03/24/20	17.000	307.72	03/24/20	307.19	...	0.53	Sale ²⁵
04/06/20	18.000	414.00	03/24/20	325.34	...	88.66	Sale ²⁵
	Security total:	721.72		632.53	...	89.19	
MEDICINOVA INC COMMON STOCK / CUSIP: 58468P206 / Symbol:							
8 transactions for 07/29/20. Total proceeds and cost reported to the IRS.							
	95.453	635.21	07/28/20	775.58	...	-140.37	1 of 8 - Sale ²⁵
	58.387	391.47	07/28/20	431.48	...	-40.01	2 of 8 - Sale ²⁵
	10.000	67.05	07/28/20	73.90	...	-6.85	3 of 8 - Sale ²⁵
	10.000	67.05	07/28/20	73.90	...	-6.85	4 of 8 - Sale ²⁵
	4.547	30.26	07/28/20	36.94	...	-6.68	5 of 8 - Sale ²⁵
	6.000	40.23	07/28/20	44.28	...	-4.05	6 of 8 - Sale ²⁵
	5.000	33.52	07/28/20	36.95	...	-3.43	7 of 8 - Sale ²⁵
	0.066	0.44	07/28/20	0.54	...	-0.10	8 of 8 - Sale ²⁵
07/29/20	189.453	1,265.23	Various	1,473.57	...	-208.34	Total of 8 transactions
07/29/20	201.613	1,351.76	07/28/20	1,500.00	73.57 W	-74.67	Sale ²⁵
	Security total:	2,616.99		2,973.57	73.57 W	-283.01	
METACRINE, INC. COMMON STOCK / CUSIP: 59101E103 / Symbol:							
09/17/20	15.000	166.80	09/16/20	186.00	...	-19.20	Sale ²⁵
MODERNA, INC. COMMON STOCK / CUSIP: 60770K107 / Symbol:							
04/27/20	20.000	975.79	04/21/20	1,097.90	...	-122.11	Sale ²⁵
08/11/20	10.000	691.92	08/05/20	753.00	61.08 W	0.00	Sale ²⁵
14 transactions for 08/13/20. Total proceeds and cost reported to the IRS.							
	3.000	203.63	08/05/20	225.90	22.27 W	0.00	1 of 14 - Sale ²⁵

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MODERNA, INC. COMMON STOCK / CUSIP: 60770K107 / Symbol: (cont'd)							
	10.000	678.78	08/06/20	794.98	116.20 W	0.00	2 of 14 - Sale ²⁵
	4.988	338.61	08/06/20	366.10	27.49 W	0.00	3 of 14 - Sale ²⁵
	0.330	22.38	08/07/20	24.54	2.16 W	0.00	4 of 14 - Sale ²⁵
	3.682	249.92	08/07/20	274.03	24.11 W	0.00	5 of 14 - Sale ²⁵
	0.317	21.35	08/07/20	27.27	5.92 W	0.00	6 of 14 - Sale ²⁵
	6.000	404.13	08/07/20	516.28	112.15 W	0.00	7 of 14 - Sale ²⁵
	3.000	202.07	08/07/20	245.55	43.48 W	0.00	8 of 14 - Sale ²⁵
	0.317	21.34	08/11/20	29.69	8.35 W	0.00	9 of 14 - Sale ²⁵
	3.683	248.08	08/11/20	319.03	70.95 W	0.00	10 of 14 - Sale ²⁵
	4.988	336.00	08/11/20	401.62	65.62 W	0.00	11 of 14 - Sale ²⁵
	0.330	22.21	08/11/20	26.89	4.68 W	0.00	12 of 14 - Sale ²⁵
	3.682	247.99	08/11/20	300.25	52.26 W	0.00	13 of 14 - Sale ²⁵
	18.000	1,212.41	08/12/20	1,335.60	123.19 W	0.00	14 of 14 - Sale ²⁵
08/13/20	62.317	4,208.90	Various	4,887.73	678.83 W	0.00	Total of 14 transactions
	2 transactions for 08/18/20. Total proceeds and cost reported to the IRS.						
	0.317	21.24	08/14/20	30.05	8.81 W	0.00	1 of 2 - Sale ²⁵
	1.683	112.83	08/14/20	146.71	33.88 W	0.00	2 of 2 - Sale ²⁵
08/18/20	2.000	134.07	Various	176.76	42.69 W	0.00	Total of 2 transactions
08/19/20	1.000	67.31	08/14/20	87.17	19.86 W	0.00	Sale ²⁵
	15 transactions for 08/20/20. Total proceeds and cost reported to the IRS.						
	3.317	223.15	08/14/20	289.12	65.97 W	0.00	1 of 15 - Sale ²⁵
	3.683	247.80	08/14/20	323.15	75.35 W	0.00	2 of 15 - Sale ²⁵
	3.000	201.84	08/14/20	248.90	47.06 W	0.00	3 of 15 - Sale ²⁵
	2.000	134.56	08/14/20	163.26	28.70 W	0.00	4 of 15 - Sale ²⁵
	2.988	201.06	08/14/20	245.12	44.06 W	0.00	5 of 15 - Sale ²⁵
	0.330	22.18	08/14/20	27.39	5.21 W	0.00	6 of 15 - Sale ²⁵
	3.682	247.71	08/14/20	305.83	58.12 W	0.00	7 of 15 - Sale ²⁵
	6.280	422.49	08/14/20	475.47	52.98 W	0.00	8 of 15 - Sale ²⁵
	7.231	486.47	08/14/20	549.48	63.01 W	0.00	9 of 15 - Sale ²⁵
	0.112	7.56	08/14/20	8.67	1.11 W	0.00	10 of 15 - Sale ²⁵
	0.317	21.32	08/14/20	31.07	9.75 W	0.00	11 of 15 - Sale ²⁵
	0.623	41.90	08/14/20	56.12	14.22 W	0.00	12 of 15 - Sale ²⁵
	1.683	113.24	08/14/20	152.12	38.88 W	0.00	13 of 15 - Sale ²⁵
	4.377	294.49	08/14/20	337.46	42.97 W	0.00	14 of 15 - Sale ²⁵

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Robinhood Securities LLC

Account 160276473

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)							
08/20/20	0.005	0.33	08/14/20	0.45	0.12 W	0.00	15 of 15 - Sale ²⁵
	39.628	2,666.10	Various	3,213.61	547.51 W	0.00	Total of 15 transactions
<i>17 transactions for 09/11/20. Total proceeds and cost reported to the IRS.</i>							
	3.683	213.28	09/10/20	293.15	...	-79.87	1 of 17 - Sale ²⁵
	7.231	418.71	09/10/20	490.59	...	-71.88	2 of 17 - Sale ²⁵
	3.317	192.07	09/10/20	262.11	...	-70.04	3 of 17 - Sale ²⁵
	3.682	213.21	09/10/20	275.84	...	-62.63	4 of 17 - Sale ²⁵
	6.280	363.65	09/10/20	424.33	...	-60.68	5 of 17 - Sale ²⁵
	3.000	173.72	09/10/20	224.46	...	-50.74	6 of 17 - Sale ²⁵
	4.377	253.46	09/10/20	301.80	...	-48.34	7 of 17 - Sale ²⁵
	2.988	173.05	09/10/20	220.78	...	-47.73	8 of 17 - Sale ²⁵
	1.683	97.47	09/10/20	138.41	...	-40.94	9 of 17 - Sale ²⁵
	2.000	115.82	09/10/20	146.97	...	-31.15	10 of 17 - Sale ²⁵
	0.623	36.07	09/10/20	51.05	...	-14.98	11 of 17 - Sale ²⁵
	0.317	18.35	09/10/20	28.49	...	-10.14	12 of 17 - Sale ²⁵
	0.372	21.55	09/10/20	29.40	...	-7.85	13 of 17 - Sale ²⁵
	5.000	289.53	09/10/20	295.67	...	-6.14	14 of 17 - Sale ²⁵
	0.330	19.10	09/10/20	24.71	...	-5.61	15 of 17 - Sale ²⁵
	0.112	6.51	09/10/20	7.76	...	-1.25	16 of 17 - Sale ²⁵
	0.005	0.29	09/10/20	0.41	...	-0.12	17 of 17 - Sale ²⁵
09/11/20	45.000	2,605.84	Various	3,215.93	...	-610.09	Total of 17 transactions
	Security total:	11,349.93		13,432.10	1,349.97 W	-732.20	
NCINO, INC. COMMON STOCK / CUSIP: 63947U107 / Symbol:							
07/16/20	5.000	342.00	07/15/20	358.20	...	-16.20	Sale ²⁵
NIKOLA CORPORATION COMMON STOC K / CUSIP: 654110105 / Symbol:							
<i>6 transactions for 07/29/20. Total proceeds and cost reported to the IRS.</i>							
	0.000	0.01	07/24/20	0.01	...	0.00	1 of 6 - Sale ²⁵
	0.078	2.41	07/24/20	2.37	...	0.04	2 of 6 - Sale ²⁵
	0.327	10.08	07/24/20	10.01	...	0.07	3 of 6 - Sale ²⁵
	11.000	339.29	07/24/20	336.99	...	2.30	4 of 6 - Sale ²⁵
	7.000	215.91	07/24/20	212.62	...	3.29	5 of 6 - Sale ²⁵

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Account 160276473

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2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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NIKOLA CORPORATION COMMON STOC K / CUSIP: 654110105 / Symbol: (cont'd)							
	3.521	108.60	07/24/20	105.00	...	3.60	6 of 6 - Sale ²⁵
07/29/20	21.926	676.30	Various	667.00	...	9.30	Total of 6 transactions
09/28/20	7.000	133.11	09/21/20	190.66	...	-57.55	Sale ²⁵
	Security total:	809.41		857.66	...	-48.25	
NOVAN, INC. COMMON STOCK / CUSIP: 66988N106 / Symbol:							
07/23/20	125.000	100.37	07/20/20	83.75	...	16.62	Sale ²⁵
07/23/20	150.000	120.45	07/22/20	132.45	12.00 W	0.00	Sale ²⁵
	2 transactions for 07/28/20. Total proceeds and cost reported to the IRS.						
	150.000	119.98	07/23/20	135.75	...	-15.77	1 of 2 - Sale ²⁵
	100.000	79.99	07/23/20	82.50	...	-2.51	2 of 2 - Sale ²⁵
07/28/20	250.000	199.97	Various	218.25	...	-18.28	Total of 2 transactions
	Security total:	420.79		434.45	12.00 W	-1.66	
NOVAVAX, INC. COMMON STOCK / CUSIP: 670002401 / Symbol:							
	5 transactions for 08/13/20. Total proceeds and cost reported to the IRS.						
	0.155	20.67	08/13/20	20.20	...	0.47	1 of 5 - Sale ²⁵
	0.325	43.29	08/13/20	42.29	...	1.00	2 of 5 - Sale ²⁵
	0.364	48.51	08/13/20	46.34	...	2.17	3 of 5 - Sale ²⁵
	1.382	184.03	08/13/20	175.91	...	8.12	4 of 5 - Sale ²⁵
	10.984	1,462.33	08/13/20	1,430.83	...	31.50	5 of 5 - Sale ²⁵
08/13/20	13.211	1,758.83	Various	1,715.57	...	43.26	Total of 5 transactions
08/13/20	20.153	2,682.87	08/13/20	2,715.58	32.71 W	0.00	Sale ²⁵
	5 transactions for 08/25/20. Total proceeds and cost reported to the IRS.						
	10.000	1,025.08	08/24/20	1,218.16	...	-193.08	1 of 5 - Sale ²⁵
	5.000	512.53	08/24/20	694.10	...	-181.57	2 of 5 - Sale ²⁵
	3.000	307.52	08/24/20	367.69	...	-60.17	3 of 5 - Sale ²⁵
	0.847	86.85	08/24/20	117.66	...	-30.81	4 of 5 - Sale ²⁵
	0.153	15.66	08/24/20	18.40	...	-2.74	5 of 5 - Sale ²⁵
08/25/20	19.000	1,947.64	Various	2,416.01	...	-468.37	Total of 5 transactions

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Account 160276473

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2020 1099-B* OMB No. 1545-0715

(continued)

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NOVAVAX, INC. COMMON STOCK / CUSIP: 670002401 / Symbol: (cont'd)							
2 transactions for 08/25/20. Total proceeds and cost reported to the IRS.							
	2.000	205.12	08/24/20	245.12	16.95 W	-23.05	1 of 2 - Sale ²⁵
	5.000	513.03	08/24/20	612.81	99.78 W	0.00	2 of 2 - Sale ²⁵
08/25/20	7.000	718.15	Various	857.93	116.73 W	-23.05	Total of 2 transactions
	Security total:	7,107.49		7,705.09	149.44 W	-448.16	
OCCIDENTAL PETROLEUM CORPORATI ON / CUSIP: 674599105 / Symbol:							
04/07/20	30.000	422.41	03/30/20	321.00	...	101.41	Sale ²⁵
2 transactions for 08/28/20. Total proceeds and cost reported to the IRS.							
	50.000	654.06	08/27/20	652.00	...	2.06	1 of 2 - Sale ²⁵
	50.000	654.06	08/27/20	644.00	...	10.06	2 of 2 - Sale ²⁵
08/28/20	100.000	1,308.12	Various	1,296.00	...	12.12	Total of 2 transactions
	Security total:	1,730.53		1,617.00	...	113.53	
ORAGENICS INC. / CUSIP: 684023302 / Symbol:							
4 transactions for 07/27/20. Total proceeds and cost reported to the IRS.							
	76.000	91.20	07/17/20	92.72	...	-1.52	1 of 4 - Sale ²⁵
	24.000	28.80	07/17/20	29.26	...	-0.46	2 of 4 - Sale ²⁵
	10.000	12.00	07/17/20	11.85	...	0.15	3 of 4 - Sale ²⁵
	80.000	96.00	07/17/20	88.00	...	8.00	4 of 4 - Sale ²⁵
07/27/20	190.000	228.00	Various	221.83	...	6.17	Total of 4 transactions
PARTY CITY HOLDCO INC. / CUSIP: 702149105 / Symbol:							
04/21/20	60.000	23.25	04/17/20	25.50	...	-2.25	Sale ²⁵
PRECIPIO, INC. COMMON STOCK / CUSIP: 74019L503 / Symbol:							
07/30/20	500.000	2,549.88	07/30/20	2,580.00	...	-30.12	Sale ²⁵
PROSHARES ULTRA BLOOMBERG CRUD E OIL / CUSIP: 74347W247 / Symbol:							
04/20/20	1,000.000	1,389.84	04/14/20	1,869.90	...	-480.06	Sale ²⁵
PROSHARES ULTRASHORT BLOOMBERG CRUDE OIL / CUSIP: 74347W668 / Symbol:							
04/21/20	40.000	1,955.95	04/20/20	1,427.17	...	528.78	Sale ²⁵
06/12/20	200.000	4,249.90	06/11/20	4,211.68	...	38.22	Sale ²⁵
	Security total:	6,205.85		5,638.85	...	567.00	

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(continued)

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PROSHARES ULTRA BLOOMBERG CRUD E OIL / CUSIP: 74347Y888 / Symbol:							
04/22/20	14.000	234.51	04/22/20	247.52	13.01 W	0.00	Sale ²⁵
	3 transactions for 05/06/20. Total proceeds and cost reported to the IRS.						
	20.000	308.61	05/05/20	362.60	...	-53.99	1 of 3 - Sale ²⁵
	14.000	216.02	05/05/20	267.67	...	-51.65	2 of 3 - Sale ²⁵
	6.000	92.58	05/05/20	109.14	...	-16.56	3 of 3 - Sale ²⁵
05/06/20	40.000	617.21	Various	739.41	...	-122.20	Total of 3 transactions
06/11/20	220.000	5,678.37	06/10/20	6,588.98	...	-910.61	Sale ²⁵
09/10/20	2.000	52.74	09/08/20	51.87	...	0.87	Sale ²⁵
	Security total:	6,582.83		7,627.78	13.01 W	-1,031.94	
QUALIGEN THERAPEUTICS, INC. CO MMON STOCK / CUSIP: 74754R103 / Symbol:							
07/29/20	50.000	317.48	07/29/20	272.00	...	45.48	Sale ²⁵
07/29/20	100.000	634.97	07/29/20	678.00	21.52 W	-21.51	Sale ²⁵
	4 transactions for 07/31/20. Total proceeds and cost reported to the IRS.						
	40.000	240.80	07/29/20	277.22	...	-36.42	1 of 4 - Sale ²⁵
	5.000	30.10	07/29/20	34.65	...	-4.55	2 of 4 - Sale ²⁵
	3.000	18.06	07/29/20	20.79	...	-2.73	3 of 4 - Sale ²⁵
	2.000	12.04	07/29/20	13.86	...	-1.82	4 of 4 - Sale ²⁵
07/31/20	50.000	301.00	Various	346.52	...	-45.52	Total of 4 transactions
	2 transactions for 12/15/20. Total proceeds and cost reported to the IRS.						
	396.177	1,624.24	12/15/20	1,651.86	...	-27.62	1 of 2 - Sale ²⁵
	11.628	47.67	12/15/20	48.14	...	-0.47	2 of 2 - Sale ²⁵
12/15/20	407.805	1,671.91	Various	1,700.00	...	-28.09	Total of 2 transactions
	Security total:	2,925.36		2,996.52	21.52 W	-49.64	
QURATE RETAIL, INC. SERIES A C OMMON STOCK / CUSIP: 74915M100 / Symbol:							
	3 transactions for 09/17/20. Total proceeds and cost reported to the IRS.						
	35.000	238.00	09/16/20	228.20	...	9.80	1 of 3 - Sale ²⁵
	40.000	271.99	09/16/20	260.79	...	11.20	2 of 3 - Sale ²⁵
	350.000	2,379.90	09/16/20	2,292.50	...	87.40	3 of 3 - Sale ²⁵
09/17/20	425.000	2,889.89	Various	2,781.49	...	108.40	Total of 3 transactions

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(continued)

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RACKSPACE TECHNOLOGY, INC. COM MON STOCK / CUSIP: 750102105 / Symbol:							
2 transactions for 08/28/20. Total proceeds and cost reported to the IRS.							
	20.932	392.46	08/26/20	383.58	...	8.88	1 of 2 - Sale ²⁵
	50.000	937.48	08/27/20	971.00	...	-33.52	2 of 2 - Sale ²⁵
08/28/20	70.932	1,329.94	Various	1,354.58	...	-24.64	Total of 2 transactions
RIGEL PHARMACEUTICALS, INC. CO MMON STOCK / CUSIP: 766559603 / Symbol:							
07/24/20	37.000	97.40	07/15/20	114.33	...	-16.93	Sale ²⁵
07/24/20	3.000	7.90	07/15/20	9.27	1.37 W	0.00	Sale ²⁵
2 transactions for 07/27/20. Total proceeds and cost reported to the IRS.							
	57.000	145.34	07/15/20	176.13	...	-30.79	1 of 2 - Sale ²⁵
	3.000	7.65	07/15/20	10.64	...	-2.99	2 of 2 - Sale ²⁵
07/27/20	60.000	152.99	Various	186.77	...	-33.78	Total of 2 transactions
	Security total:	258.29		310.37	1.37 W	-50.71	
RIOT BLOCKCHAIN, INC. COMMON STOCK / CUSIP: 767292105 / Symbol:							
08/04/20	100.000	331.99	08/03/20	380.79	...	-48.80	Sale ²⁵
SATSUMA PHARMACEUTICALS, INC. COMMON STOCK / CUSIP: 80405P107 / Symbol:							
2 transactions for 09/10/20. Total proceeds and cost reported to the IRS.							
	300.000	1,784.92	09/10/20	1,860.00	...	-75.08	1 of 2 - Sale ²⁵
	100.000	594.97	09/10/20	619.00	...	-24.03	2 of 2 - Sale ²⁵
09/10/20	400.000	2,379.89	Various	2,479.00	...	-99.11	Total of 2 transactions
SERITAGE GROWTH PROPERTIES CLA SS A COMMON SHARES OF BENEFICI AL INTEREST, PAR VALUE \$0.01 / CUSIP: 81752R100 / Symbol:							
6 transactions for 06/10/20. Total proceeds and cost reported to the IRS.							
	1.000	14.75	06/04/20	12.21	...	2.54	1 of 6 - Sale ²⁵
	13.000	192.14	06/04/20	158.70	...	33.44	2 of 6 - Sale ²⁵
	19.000	280.82	06/04/20	231.04	...	49.78	3 of 6 - Sale ²⁵
	31.000	457.87	06/04/20	376.96	...	80.91	4 of 6 - Sale ²⁵
	36.000	530.98	06/04/20	439.47	...	91.51	5 of 6 - Sale ²⁵
	100.000	1,477.45	06/04/20	1,216.00	...	261.45	6 of 6 - Sale ²⁵
06/10/20	200.000	2,954.01	Various	2,434.38	...	519.63	Total of 6 transactions

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SLACK TECHNOLOGIES, INC. / CUSIP: 83088V102 / Symbol:							
03/24/20	1.000	26.02	03/24/20	26.02	...	0.00	Sale ²⁵
SORRENTO THERAPEUTICS, INC. C OMMON STOCK / CUSIP: 83587F202 / Symbol:							
2 transactions for 08/06/20. Total proceeds and cost reported to the IRS.							
	0.002	0.02	08/06/20	0.02	...	0.00	1 of 2 - Sale ²⁵
	84.000	1,136.06	08/06/20	1,099.98	...	36.08	2 of 2 - Sale ²⁵
08/06/20	84.002	1,136.08	Various	1,100.00	...	36.08	Total of 2 transactions
11 transactions for 08/12/20. Total proceeds and cost reported to the IRS.							
	4.997	65.96	08/10/20	90.80	...	-24.84	1 of 11 - Sale ²⁵
	0.438	5.78	08/10/20	7.96	...	-2.18	2 of 11 - Sale ²⁵
	0.069	0.90	08/10/20	1.24	...	-0.34	3 of 11 - Sale ²⁵
	15.086	188.27	08/11/20	282.67	...	-94.40	4 of 11 - Sale ²⁵
	32.915	434.47	08/11/20	452.49	...	-18.02	5 of 11 - Sale ²⁵
	17.980	237.34	08/11/20	246.33	...	-8.99	6 of 11 - Sale ²⁵
	1.671	20.86	08/11/20	27.01	...	-6.15	7 of 11 - Sale ²⁵
	0.243	3.03	08/11/20	4.55	...	-1.52	8 of 11 - Sale ²⁵
	0.058	0.73	08/11/20	0.94	...	-0.21	9 of 11 - Sale ²⁵
	0.358	4.73	08/11/20	4.92	...	-0.19	10 of 11 - Sale ²⁵
	0.281	3.70	08/11/20	3.84	...	-0.14	11 of 11 - Sale ²⁵
08/12/20	74.096	965.77	Various	1,122.75	...	-156.98	Total of 11 transactions
3 transactions for 08/12/20. Total proceeds and cost reported to the IRS.							
	40.990	541.05	08/10/20	745.59	75.28 W	-129.26	1 of 3 - Sale ²⁵
	1.730	22.83	08/10/20	27.00	4.17 W	0.00	2 of 3 - Sale ²⁵
	0.243	3.20	08/10/20	4.41	1.21 W	0.00	3 of 3 - Sale ²⁵
08/12/20	42.962	567.08	Various	777.00	80.66 W	-129.26	Total of 3 transactions
	Security total:	2,668.93		2,999.75	80.66 W	-250.16	
SOUTHWEST AIRLINES CO. / CUSIP: 844741108 / Symbol:							
05/28/20	15.000	500.98	05/04/20	403.78	...	97.20	Sale ²⁵
SPIRIT AEROSYSTEMS HOLDINGS, I NC. / CUSIP: 848574109 / Symbol:							
04/20/20	30.000	656.45	04/16/20	582.26	...	74.19	Sale ²⁵
4 transactions for 08/05/20. Total proceeds and cost reported to the IRS.							
	2.000	41.50	08/04/20	36.96	...	4.54	1 of 4 - Sale ²⁵

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Robinhood Securities LLC

Account 160276473

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
SPIRIT AEROSYSTEMS HOLDINGS, I NC. / CUSIP: 848574109 / Symbol: (cont'd)							
	10.000	207.49	08/04/20	186.35	...	21.14	2 of 4 - Sale ²⁵
	10.000	207.50	08/04/20	184.80	...	22.70	3 of 4 - Sale ²⁵
	28.000	580.99	08/04/20	517.44	...	63.55	4 of 4 - Sale ²⁵
08/05/20	50.000	1,037.48	Various	925.55	...	111.93	Total of 4 transactions
	2 transactions for 08/10/20. Total proceeds and cost reported to the IRS.						
	0.789	17.36	08/07/20	16.48	...	0.88	1 of 2 - Sale ²⁵
	3.999	87.93	08/07/20	83.52	...	4.41	2 of 2 - Sale ²⁵
08/10/20	4.788	105.29	Various	100.00	...	5.29	Total of 2 transactions
	7 transactions for 08/26/20. Total proceeds and cost reported to the IRS.						
	76.000	1,573.15	08/25/20	1,647.59	...	-74.44	1 of 7 - Sale ²⁵
	44.749	926.28	08/25/20	970.11	...	-43.83	2 of 7 - Sale ²⁵
	20.000	414.00	08/25/20	433.58	...	-19.58	3 of 7 - Sale ²⁵
	14.749	305.31	08/25/20	319.74	...	-14.43	4 of 7 - Sale ²⁵
	5.000	103.50	08/25/20	111.22	...	-7.72	5 of 7 - Sale ²⁵
	0.251	5.19	08/25/20	5.58	...	-0.39	6 of 7 - Sale ²⁵
	0.051	1.07	08/25/20	1.11	...	-0.04	7 of 7 - Sale ²⁵
08/26/20	160.800	3,328.50	Various	3,488.93	...	-160.43	Total of 7 transactions
	2 transactions for 08/26/20. Total proceeds and cost reported to the IRS.						
	0.251	5.19	08/24/20	5.33	0.14 W	0.00	1 of 2 - Sale ²⁵
	5.000	103.50	08/24/20	106.33	2.83 W	0.00	2 of 2 - Sale ²⁵
08/26/20	5.251	108.69	Various	111.66	2.97 W	0.00	Total of 2 transactions
	Security total:	5,236.41		5,208.40	2.97 W	30.98	
SPIRIT AIRLINES, INC. / CUSIP: 848577102 / Symbol:							
	6 transactions for 06/10/20. Total proceeds and cost reported to the IRS.						
	5.000	96.50	05/07/20	50.00	...	46.50	1 of 6 - Sale ²⁵
	45.000	868.47	05/07/20	450.00	...	418.47	2 of 6 - Sale ²⁵
	5.000	96.50	05/12/20	50.00	...	46.50	3 of 6 - Sale ²⁵
	45.000	868.47	05/12/20	450.00	...	418.47	4 of 6 - Sale ²⁵
	25.000	452.63	05/13/20	202.50	...	250.13	5 of 6 - Sale ²⁵
	100.000	1,929.94	05/13/20	810.00	...	1,119.94	6 of 6 - Sale ²⁵
06/10/20	225.000	4,312.51	Various	2,012.50	...	2,300.01	Total of 6 transactions

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Robinhood Securities LLC

Account 160276473

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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SUNDANCE ENERGY INC. COMMON STOCK / CUSIP: 86725N102 / Symbol:							
04/17/20	9.000	26.64	04/16/20	25.83	...	0.81	Sale ²⁵
TELLURIAN INC. COMMON STOCK / CUSIP: 87968A104 / Symbol:							
03/24/20	50.000	44.50	03/24/20	44.51	...	-0.01	Sale ²⁵
TESLA, INC. COMMON STOCK / CUSIP: 88160R101 / Symbol:							
09/08/20	8.000	2,823.93	08/28/20	3,684.38	...	-860.45	Sale ²⁵
09/10/20	0.327	123.80	08/28/20	150.77	...	-26.97	Sale ²⁵
	Security total:	2,947.73		3,835.15	...	-887.42	
TONIX PHARMACEUTICALS HOLDING CORP. COMMON STOCK / CUSIP: 890260706 / Symbol:							
3 transactions for 07/28/20. Total proceeds and cost reported to the IRS.							
	100.000	110.12	07/17/20	78.67	...	31.45	1 of 3 - Sale ²⁵
	100.000	110.12	07/17/20	76.47	...	33.65	2 of 3 - Sale ²⁵
	150.000	165.18	07/22/20	179.81	...	-14.63	3 of 3 - Sale ²⁵
07/28/20	350.000	385.42	Various	334.95	...	50.47	Total of 3 transactions
UNITED AIRLINES HOLDINGS, INC. COMMON STOCK / CUSIP: 910047109 / Symbol:							
06/10/20	20.000	802.58	05/04/20	480.00	...	322.58	Sale ²⁵
U.S. ENERGY CORP. COMMON STOCK / CUSIP: 911805307 / Symbol:							
2 transactions for 09/29/20. Total proceeds and cost reported to the IRS.							
	100.000	821.57	09/29/20	1,192.50	...	-370.93	1 of 2 - Sale ²⁵
	100.000	821.57	09/29/20	1,192.50	...	-370.93	2 of 2 - Sale ²⁵
09/29/20	200.000	1,643.14	Various	2,385.00	...	-741.86	Total of 2 transactions
UNITED STATES OIL FUND, LP / CUSIP: 91232N207 / Symbol:							
2 transactions for 05/06/20. Total proceeds and cost reported to the IRS.							
	20.000	406.19	05/05/20	448.60	...	-42.41	1 of 2 - Sale ²⁵
	20.000	406.19	05/05/20	447.00	...	-40.81	2 of 2 - Sale ²⁵
05/06/20	40.000	812.38	Various	895.60	...	-83.22	Total of 2 transactions
06/11/20	220.000	5,889.25	06/10/20	6,353.29	...	-464.04	Sale ²⁵
	Security total:	6,701.63		7,248.89	...	-547.26	

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(continued)

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VBI VACCINES, INC. NEW COMMON STOCK (CANADA) / CUSIP: 91822J103 / Symbol:							
2 transactions for 07/08/20. Total proceeds and cost reported to the IRS.							
	100.000	363.49	07/07/20	407.00	43.51 W	0.00	1 of 2 - Sale ²⁵
	100.000	363.49	07/07/20	407.00	43.51 W	0.00	2 of 2 - Sale ²⁵
07/08/20	200.000	726.98	Various	814.00	87.02 W	0.00	Total of 2 transactions
07/28/20	50.000	208.07	07/13/20	218.75	10.68 W	0.00	Sale ²⁵
7 transactions for 07/29/20. Total proceeds and cost reported to the IRS.							
	76.649	292.41	07/13/20	339.17	...	-46.76	1 of 7 - Sale ²⁵
	49.649	194.37	07/28/20	238.76	...	-44.39	2 of 7 - Sale ²⁵
	22.974	89.95	07/28/20	111.65	...	-21.70	3 of 7 - Sale ²⁵
	26.649	104.33	07/28/20	123.57	...	-19.24	4 of 7 - Sale ²⁵
	23.351	89.08	07/28/20	108.28	...	-19.20	5 of 7 - Sale ²⁵
	0.377	1.47	07/28/20	1.82	...	-0.35	6 of 7 - Sale ²⁵
	0.351	1.37	07/28/20	1.69	...	-0.32	7 of 7 - Sale ²⁵
07/29/20	200.000	772.98	Various	924.94	...	-151.96	Total of 7 transactions
4 transactions for 07/29/20. Total proceeds and cost reported to the IRS.							
	0.351	1.33	07/13/20	1.53	0.20 W	0.00	1 of 4 - Sale ²⁵
	49.649	188.91	07/13/20	217.22	28.31 W	0.00	2 of 4 - Sale ²⁵
	50.000	190.25	07/13/20	210.17	19.92 W	0.00	3 of 4 - Sale ²⁵
	23.351	88.85	07/13/20	103.32	14.47 W	0.00	4 of 4 - Sale ²⁵
07/29/20	123.351	469.34	Various	532.24	62.90 W	0.00	Total of 4 transactions
	Security total:	2,177.37		2,489.93	160.60 W	-151.96	
VAXART, INC COMMON STOCK / CUSIP: 92243A200 / Symbol:							
2 transactions for 07/08/20. Total proceeds and cost reported to the IRS.							
	11.000	87.67	07/07/20	97.90	10.23 W	0.00	1 of 2 - Sale ²⁵
	50.000	398.49	07/08/20	401.50	3.01 W	0.00	2 of 2 - Sale ²⁵
07/08/20	61.000	486.16	Various	499.40	13.24 W	0.00	Total of 2 transactions
3 transactions for 08/06/20. Total proceeds and cost reported to the IRS.							
	11.000	101.86	08/05/20	117.63	15.77 W	0.00	1 of 3 - Sale ²⁵
	50.000	462.98	08/05/20	491.21	28.23 W	0.00	2 of 3 - Sale ²⁵
	64.000	592.62	08/05/20	624.90	32.28 W	0.00	3 of 3 - Sale ²⁵
08/06/20	125.000	1,157.46	Various	1,233.74	76.28 W	0.00	Total of 3 transactions

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Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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VAXART, INC COMMON STOCK / CUSIP: 92243A200 / Symbol: (cont'd)							
10 transactions for 08/07/20. Total proceeds and cost reported to the IRS.							
	30.000	292.49	08/06/20	316.93	...	-24.44	1 of 10 - Sale ²⁵
	44.000	428.99	08/06/20	448.80	...	-19.81	2 of 10 - Sale ²⁵
	19.000	185.24	08/06/20	203.38	...	-18.14	3 of 10 - Sale ²⁵
	31.000	302.24	08/06/20	318.51	...	-16.27	4 of 10 - Sale ²⁵
	31.000	302.24	08/06/20	316.20	...	-13.96	5 of 10 - Sale ²⁵
	18.000	175.49	08/06/20	184.95	...	-9.46	6 of 10 - Sale ²⁵
	15.000	146.24	08/06/20	155.17	...	-8.93	7 of 10 - Sale ²⁵
	2.000	18.92	08/06/20	23.19	...	-4.27	8 of 10 - Sale ²⁵
	2.000	18.92	08/06/20	23.19	...	-4.27	9 of 10 - Sale ²⁵
	1.000	9.75	08/06/20	10.40	...	-0.65	10 of 10 - Sale ²⁵
08/07/20	193.000	1,880.52	Various	2,000.72	...	-120.20	Total of 10 transactions
2 transactions for 08/07/20. Total proceeds and cost reported to the IRS.							
	9.000	87.75	08/06/20	100.29	2.79 W	-9.75	1 of 2 - Sale ²⁵
	2.000	19.50	08/06/20	22.29	2.79 W	0.00	2 of 2 - Sale ²⁵
08/07/20	11.000	107.25	Various	122.58	5.58 W	-9.75	Total of 2 transactions
15 transactions for 09/14/20. Total proceeds and cost reported to the IRS.							
	2.000	15.50	09/14/20	16.05	0.55 W	0.00	1 of 15 - Sale ²⁵
	86.000	666.48	09/14/20	690.15	23.67 W	0.00	2 of 15 - Sale ²⁵
	2.000	15.50	09/14/20	16.60	1.10 W	0.00	3 of 15 - Sale ²⁵
	22.000	170.49	09/14/20	176.55	6.06 W	0.00	4 of 15 - Sale ²⁵
	4.000	31.00	09/14/20	33.20	2.20 W	0.00	5 of 15 - Sale ²⁵
	5.000	38.10	09/14/20	41.50	3.40 W	0.00	6 of 15 - Sale ²⁵
	2.000	15.24	09/14/20	16.60	1.36 W	0.00	7 of 15 - Sale ²⁵
	65.000	497.23	09/14/20	539.52	42.29 W	0.00	8 of 15 - Sale ²⁵
	2.000	15.30	09/14/20	17.16	1.86 W	0.00	9 of 15 - Sale ²⁵
	10.000	76.50	09/14/20	83.05	6.55 W	0.00	10 of 15 - Sale ²⁵
	2.000	15.30	09/14/20	17.50	2.20 W	0.00	11 of 15 - Sale ²⁵
	4.000	30.60	09/14/20	34.48	3.88 W	0.00	12 of 15 - Sale ²⁵
	5.000	38.25	09/14/20	43.75	5.50 W	0.00	13 of 15 - Sale ²⁵
	22.000	168.29	09/14/20	183.60	15.31 W	0.00	14 of 15 - Sale ²⁵
	117.000	895.01	09/14/20	944.19	49.18 W	0.00	15 of 15 - Sale ²⁵
09/14/20	350.000	2,688.79	Various	2,853.90	165.11 W	0.00	Total of 15 transactions

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(continued)

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VAXART, INC COMMON STOCK / CUSIP: 92243A200 / Symbol: (cont'd)							
<i>9 transactions for 09/28/20. Total proceeds and cost reported to the IRS.</i>							
	117.000	822.61	09/17/20	1,006.24	...	-183.63	1 of 9 - Sale ²⁵
	123.000	864.80	09/17/20	1,006.14	...	-141.34	2 of 9 - Sale ²⁵
	65.000	457.00	09/17/20	573.99	...	-116.99	3 of 9 - Sale ²⁵
	22.000	154.68	09/17/20	195.27	...	-40.59	4 of 9 - Sale ²⁵
	10.000	70.31	09/17/20	88.35	...	-18.04	5 of 9 - Sale ²⁵
	5.000	35.15	09/17/20	46.40	...	-11.25	6 of 9 - Sale ²⁵
	4.000	28.12	09/17/20	36.60	...	-8.48	7 of 9 - Sale ²⁵
	2.000	14.06	09/17/20	18.56	...	-4.50	8 of 9 - Sale ²⁵
	2.000	14.06	09/17/20	18.22	...	-4.16	9 of 9 - Sale ²⁵
09/28/20	350.000	2,460.79	Various	2,989.77	...	-528.98	Total of 9 transactions
	Security total:	8,780.97		9,700.11	260.21 W	-658.93	
WORKHORSE GROUP, INC. COMMON S TOCK / CUSIP: 98138J206 / Symbol:							
06/26/20	30.000	270.00	06/24/20	273.52	...	-3.52	Sale ²⁵
XPENG INC. AMERICAN DEPOSITARY SHARES, EACH REPRESENTING TWO CLASS A ORDINARY SHARES / CUSIP: 98422D105 / Symbol:							
08/27/20	15.000	322.50	08/27/20	357.75	...	-35.25	Sale ²⁵
NORDIC AMERICAN TANKER / CUSIP: G65773106 / Symbol:							
04/30/20	100.000	587.30	04/21/20	543.00	...	44.30	Sale ²⁵
URBAN TEA, INC. ORDINARY SHARE S / CUSIP: G9396G100 / Symbol:							
07/09/20	1,000.000	612.47	07/07/20	575.00	...	37.47	Sale ²⁵
ROYAL CARIBBEAN GROUP / CUSIP: V7780T103 / Symbol:							
04/07/20	20.000	714.78	03/30/20	618.40	...	96.38	Sale ²⁵
SCORPIO TANKERS INC. / CUSIP: Y7542C130 / Symbol:							
04/27/20	18.000	473.13	04/21/20	443.62	...	29.51	Sale ²⁵
TEEKAY CORPORATION / CUSIP: Y8564W103 / Symbol:							
<i>3 transactions for 04/22/20. Total proceeds and cost reported to the IRS.</i>							
	50.000	197.60	04/21/20	217.49	...	-19.89	1 of 3 - Sale ²⁵
	42.000	174.30	04/21/20	182.70	...	-8.40	2 of 3 - Sale ²⁵

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TEEKAY CORPORATION / CUSIP: Y8564W103 / Symbol: (cont'd)							
	8.000	33.20	04/21/20	34.80	...	-1.60	3 of 3 - Sale ²⁵
04/22/20	100.000	405.10	Various	434.99	...	-29.89	Total of 3 transactions
Totals :		192,301.84		204,355.62	5,807.95 W	-6,245.83	

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Fees and Expenses

2020

02/14/2021

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

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

Description	CUSIP and/or symbol	Date	Amount	Transaction type	Notes
		07/06/20	-5.00	Margin interest paid	
		08/03/20	-5.00	Margin interest paid	
		09/01/20	-5.00	Margin interest paid	
		10/01/20	-5.00	Margin interest paid	
		11/02/20	-5.00	Margin interest paid	
		11/30/20	-5.00	Margin interest paid	
		12/30/20	-5.00	Margin interest paid	
			-35.00	Total Margin interest paid	
			-35.00	Total Margin interest paid	

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-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 may also have a filing requirement. See the Instructions for Form 8938.

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

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

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

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

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

Instructions for Recipient

(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.