

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 914873864	Statement Date: 02/14/2021 Document ID: YE3K 094 967T	2020
	Chandra Tatikonda 22 York Dr 5A Edison, NJ 08817 RECIPIENT'S TIN: XXX-XX-2827		

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)	30,065.47	29,236.98	0.00	241.13	1,069.62
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)	5.09	12.75	0.00	0.00	-7.66
	Total Short-term	30,070.56	29,249.73	0.00	241.13	1,061.96
Long	D (basis reported to the IRS)	12.39	6.09	0.00	0.00	6.30
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	12.39	6.09	0.00	0.00	6.30
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	30,082.95	29,255.82	0.00	241.13	1,068.26
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 914873864

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	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 914873864

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
AMC ENTERTAINMENT HOLDINGS, IN C. / CUSIP: 00165C104 / Symbol:							
09/28/20	40.000	201.60	09/25/20	191.12	...	10.48	Sale ²⁵
ADIAL PHARMACEUTICALS, INC COM MON STOCK / CUSIP: 00688A106 / Symbol:							
10/07/20	100.000	211.18	09/29/20	280.00	...	-68.82	Sale ²⁵
AEROCENTURY CORPORATION / CUSIP: 007737109 / Symbol:							
3 transactions for 12/24/20. Total proceeds and cost reported to the IRS.							
	40.000	156.00	12/24/20	144.00	...	12.00	1 of 3 - Sale ²⁵
	62.000	241.79	12/24/20	223.20	...	18.59	2 of 3 - Sale ²⁵
	398.000	1,552.12	12/24/20	1,432.80	...	119.32	3 of 3 - Sale ²⁵
12/24/20	500.000	1,949.91	Various	1,800.00	...	149.91	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

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
APPLIED DNA SCIENCES, INC. COM MON STOCK / CUSIP: 03815U300 / Symbol:							
07/17/20	8.000	97.34	07/17/20	95.39	...	1.95	Sale ²⁵
07/31/20	9.000	107.51	07/17/20	102.60	...	4.91	Sale ²⁵
	Security total:	204.85		197.99	...	6.86	
AVINGER, INC. COMMON STOCK / CUSIP: 053734604 / Symbol:							
<i>6 transactions for 09/29/20. Total proceeds and cost reported to the IRS.</i>							
	402.000	131.08	09/11/20	161.60	...	-30.52	1 of 6 - Sale ²⁵
	120.000	39.13	09/11/20	48.44	...	-9.31	2 of 6 - Sale ²⁵
	100.000	32.61	09/11/20	40.00	...	-7.39	3 of 6 - Sale ²⁵
	100.000	32.61	09/11/20	39.90	...	-7.29	4 of 6 - Sale ²⁵
	90.000	29.35	09/11/20	35.91	...	-6.56	5 of 6 - Sale ²⁵
	35.000	11.41	09/11/20	13.93	...	-2.52	6 of 6 - Sale ²⁵
09/29/20	847.000	276.19	Various	339.78	...	-63.59	Total of 6 transactions
BELLUS HEALTH INC. COMMON SHAR ES / CUSIP: 07987C204 / Symbol:							
<i>2 transactions for 08/14/20. Total proceeds and cost reported to the IRS.</i>							
	15.000	38.62	07/10/20	43.65	...	-5.03	1 of 2 - Sale ²⁵
	90.000	231.75	07/28/20	224.55	...	7.20	2 of 2 - Sale ²⁵
08/14/20	105.000	270.37	Various	268.20	...	2.17	Total of 2 transactions
BIOCEPT, INC. COMMON STOCK / CUSIP: 09072V501 / Symbol:							
12/10/20	80.000	471.99	12/09/20	392.62	...	79.37	Sale ²⁵
BIOLASE, INC. COMMON STOCK / CUSIP: 090911207 / Symbol:							
<i>5 transactions for 12/28/20. Total proceeds and cost reported to the IRS.</i>							
	80.000	43.19	12/24/20	34.56	...	8.63	1 of 5 - Sale ²⁵
	150.000	80.98	12/24/20	64.80	...	16.18	2 of 5 - Sale ²⁵
	500.000	269.93	12/24/20	216.00	...	53.93	3 of 5 - Sale ²⁵
	602.000	325.00	12/24/20	260.06	...	64.94	4 of 5 - Sale ²⁵
	1,268.000	684.55	12/24/20	547.78	...	136.77	5 of 5 - Sale ²⁵
12/28/20	2,600.000	1,403.65	Various	1,123.20	...	280.45	Total of 5 transactions
CBDMD, INC. COMMON STOCK / CUSIP: 12482W101 / Symbol:							
12/07/20	300.000	884.94	12/02/20	825.00	...	59.94	Sale 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
CAMBER ENERGY, INC / CUSIP: 13200M508 / Symbol:							
09/29/20	150.000	95.08	09/25/20	91.32	...	3.76	Sale ²⁵
09/29/20	200.000	126.78	09/24/20	134.00	7.22 W	0.00	Sale ²⁵
	2 transactions for 10/08/20. Total proceeds and cost reported to the IRS.						
	200.000	165.98	10/08/20	180.20	...	-14.22	1 of 2 - Sale ²⁵
	50.000	41.49	10/08/20	43.25	...	-1.76	2 of 2 - Sale ²⁵
10/08/20	250.000	207.47	Various	223.45	...	-15.98	Total of 2 transactions
	Security total:	429.33		448.77	7.22 W	-12.22	
CAPITALA FINANCE CORP. COMMON STOCK / CUSIP: 14054R106 / Symbol:							
07/28/20	39.000	90.87	07/17/20	98.67	...	-7.80	Sale ²⁵
CAPRICOR THERAPEUTICS, INC. CO MMON STOCK / CUSIP: 14070B309 / Symbol:							
11/09/20	50.000	210.00	11/09/20	210.00	...	0.00	Sale ²⁵
CARVER BANCORP, INC. COMMON ST OCK / CUSIP: 146875604 / Symbol:							
08/25/20	40.000	260.00	08/25/20	265.80	...	-5.80	Sale ²⁵
CBAK ENERGY TECHNOLOGY, INC. C OMMON STOCK / CUSIP: 14986C102 / Symbol:							
12/07/20	4.000	28.00	12/04/20	23.40	...	4.60	Sale ²⁵
	5 transactions for 12/22/20. Total proceeds and cost reported to the IRS.						
	8.000	51.20	12/08/20	44.80	...	6.40	1 of 5 - Sale ²⁵
	92.000	588.77	12/08/20	518.78	...	69.99	2 of 5 - Sale ²⁵
	98.000	627.17	12/08/20	552.61	...	74.56	3 of 5 - Sale ²⁵
	2.000	12.80	12/10/20	10.74	...	2.06	4 of 5 - Sale ²⁵
	86.000	550.37	12/10/20	461.82	...	88.55	5 of 5 - Sale ²⁵
12/22/20	286.000	1,830.31	Various	1,588.75	...	241.56	Total of 5 transactions
	Security total:	1,858.31		1,612.15	...	246.16	
CINEDIGM CORP., CLASS A COMMON STOCK / CUSIP: 172406209 / Symbol:							
	2 transactions for 09/11/20. Total proceeds and cost reported to the IRS.						
	100.000	107.99	08/28/20	88.52	...	19.47	1 of 2 - Sale ²⁵
	100.000	107.99	08/28/20	88.52	...	19.47	2 of 2 - Sale ²⁵
09/11/20	200.000	215.98	Various	177.04	...	38.94	Total of 2 transactions

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Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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

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

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

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
CINEDIGM CORP., CLASS A COMMON STOCK / CUSIP: 172406209 / Symbol: (cont'd)							
5 transactions for 09/24/20. Total proceeds and cost reported to the IRS.							
	140.000	74.20	09/14/20	121.80	...	-47.60	1 of 5 - Sale ²⁵
	140.000	74.20	09/14/20	117.57	...	-43.37	2 of 5 - Sale ²⁵
	298.000	157.94	09/16/20	212.53	...	-54.59	3 of 5 - Sale ²⁵
	120.000	63.60	09/16/20	84.56	...	-20.96	4 of 5 - Sale ²⁵
	2.000	1.06	09/16/20	1.43	...	-0.37	5 of 5 - Sale ²⁵
09/24/20	700.000	371.00	Various	537.89	...	-166.89	Total of 5 transactions
9 transactions for 12/08/20. Total proceeds and cost reported to the IRS.							
	60.000	46.79	12/04/20	40.80	...	5.99	1 of 9 - Sale ²⁵
	100.000	77.99	12/04/20	70.60	...	7.39	2 of 9 - Sale ²⁵
	100.000	77.99	12/04/20	70.60	...	7.39	3 of 9 - Sale ²⁵
	100.000	77.99	12/04/20	70.60	...	7.39	4 of 9 - Sale ²⁵
	100.000	77.99	12/04/20	70.60	...	7.39	5 of 9 - Sale ²⁵
	100.000	77.98	12/04/20	69.00	...	8.98	6 of 9 - Sale ²⁵
	300.000	233.95	12/04/20	207.00	...	26.95	7 of 9 - Sale ²⁵
	300.000	233.96	12/04/20	207.00	...	26.96	8 of 9 - Sale ²⁵
	300.000	233.96	12/04/20	207.00	...	26.96	9 of 9 - Sale ²⁵
12/08/20	1,460.000	1,138.60	Various	1,013.20	...	125.40	Total of 9 transactions
	Security total:	1,725.58		1,728.13	...	-2.55	
CLEANSPARK, INC. COMMON STOCK / CUSIP: 18452B209 / Symbol:							
09/23/20	20.000	234.06	09/23/20	258.20	...	-24.14	Sale ²⁵
DIGITAL ALLY, INC. COMMON STOC K / CUSIP: 25382P208 / Symbol:							
3 transactions for 12/29/20. Total proceeds and cost reported to the IRS.							
	443.000	1,129.58	12/28/20	1,147.37	...	-17.79	1 of 3 - Sale ²⁵
	207.000	527.81	12/28/20	536.13	...	-8.32	2 of 3 - Sale ²⁵
	50.000	127.49	12/28/20	129.50	...	-2.01	3 of 3 - Sale ²⁵
12/29/20	700.000	1,784.88	Various	1,813.00	...	-28.12	Total of 3 transactions
DPW HOLDINGS, INC. / CUSIP: 26140E600 / Symbol:							
10/08/20	98.000	253.81	10/07/20	215.60	...	38.21	Sale ²⁵
2 transactions for 12/24/20. Total proceeds and cost reported to the IRS.							
	1.000	3.84	12/21/20	3.63	...	0.21	1 of 2 - Sale 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)

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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)	7- Loss not allowed (X) also not reported (Z)	Gain or loss(-) & Additional information
DPW HOLDINGS, INC. / CUSIP: 26140E600 / Symbol: (cont'd)							
	289.000	1,109.70	12/21/20	1,049.07	...	60.63	2 of 2 - Sale ²⁵
12/24/20	290.000	1,113.54	Various	1,052.70	...	60.84	Total of 2 transactions
	Security total:	1,367.35		1,268.30	...	99.05	
ELECTRAMECCANICA VEHICLES CORP. LTD. COMMON STOCK / CUSIP: 284849205 / Symbol:							
07/08/20	28.000	126.57	07/07/20	114.80	...	11.77	Sale ²⁵
	2 transactions for 09/14/20. Total proceeds and cost reported to the IRS.						
	40.000	100.80	07/13/20	162.00	...	-61.20	1 of 2 - Sale ²⁵
	11.000	27.72	08/06/20	34.49	...	-6.77	2 of 2 - Sale ²⁵
09/14/20	51.000	128.52	Various	196.49	...	-67.97	Total of 2 transactions
	Security total:	255.09		311.29	...	-56.20	
GENIUS BRANDS INTERNATIONAL, I NC. COMMON STOCK / CUSIP: 37229T301 / Symbol:							
07/02/20	67.000	237.85	06/19/20	198.99	...	38.86	Sale ²⁵
GREENPOWER MOTOR COMPANY INC. COMMON SHARES / CUSIP: 39540E302 / Symbol:							
09/24/20	25.000	279.24	09/23/20	266.50	...	12.74	Sale ²⁵
11/11/20	10.000	102.20	11/10/20	91.40	...	10.80	Sale ²⁵
11/11/20	50.000	491.00	11/10/20	495.00	3.20 W	-0.80	Sale ²⁵
11/12/20	30.000	318.00	11/10/20	274.20	...	43.80	Sale ²⁵
	Security total:	1,190.44		1,127.10	3.20 W	66.54	
HELIUS MEDICAL TECHNOLOGIES, I NC. CLASS A COMMON STOCK (DE) / CUSIP: 42328V504 / Symbol:							
07/22/20	120.000	73.49	07/14/20	61.94	...	11.55	Sale ²⁵
HEXO CORP. / CUSIP: 428304307 / Symbol:							
12/29/20	49.000	188.90	12/28/20	199.92	...	-11.02	Sale ²⁵
IDEANOMICS, INC. COMMON STOCK / CUSIP: 45166V106 / Symbol:							
07/08/20	40.000	66.99	07/02/20	61.00	...	5.99	Sale ²⁵
	2 transactions for 07/08/20. Total proceeds and cost reported to the IRS.						
	1.000	1.67	07/01/20	1.68	0.01 W	0.00	1 of 2 - Sale ²⁵
	24.000	40.20	07/01/20	40.32	0.12 W	0.00	2 of 2 - Sale ²⁵
07/08/20	25.000	41.87	Various	42.00	0.13 W	0.00	Total of 2 transactions

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Robinhood Securities LLC

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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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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
IDEANOMICS, INC. COMMON STOCK / CUSIP: 45166V106 / Symbol: (cont'd)							
3 transactions for 07/14/20. Total proceeds and cost reported to the IRS.							
	24.000	29.04	07/13/20	32.04	...	-3.00	1 of 3 - Sale ²⁵
	25.000	30.25	07/13/20	33.25	...	-3.00	2 of 3 - Sale ²⁵
	1.000	1.21	07/13/20	1.34	...	-0.13	3 of 3 - Sale ²⁵
07/14/20	50.000	60.50	Various	66.63	...	-6.13	Total of 3 transactions
	Security total:	169.36		169.63	0.13 W	-0.14	
INDIA GLOBALIZATION CAPITAL, I NC. / CUSIP: 45408X308 / Symbol:							
5 transactions for 12/04/20. Total proceeds and cost reported to the IRS.							
	44.000	91.08	12/01/20	88.88	...	2.20	1 of 5 - Sale ²⁵
	156.000	322.90	12/01/20	315.12	...	7.78	2 of 5 - Sale ²⁵
	100.000	206.99	12/01/20	195.00	...	11.99	3 of 5 - Sale ²⁵
	100.000	206.99	12/01/20	195.00	...	11.99	4 of 5 - Sale ²⁵
	100.000	206.99	12/01/20	188.00	...	18.99	5 of 5 - Sale ²⁵
12/04/20	500.000	1,034.95	Various	982.00	...	52.95	Total of 5 transactions
12/09/20	36.000	62.63	12/03/20	74.52	...	-11.89	Sale ²⁵
4 transactions for 12/09/20. Total proceeds and cost reported to the IRS.							
	95.000	165.28	12/01/20	178.60	13.32 W	0.00	1 of 4 - Sale ²⁵
	5.000	8.70	12/01/20	9.40	0.70 W	0.00	2 of 4 - Sale ²⁵
	100.000	173.98	12/03/20	207.00	30.38 W	-2.64	3 of 4 - Sale ²⁵
	64.000	111.35	12/03/20	131.84	20.49 W	0.00	4 of 4 - Sale ²⁵
12/09/20	264.000	459.31	Various	526.84	64.89 W	-2.64	Total of 4 transactions
5 transactions for 12/29/20. Total proceeds and cost reported to the IRS.							
	77.000	126.66	12/03/20	184.82	...	-58.16	1 of 5 - Sale ²⁵
	95.000	156.26	12/03/20	209.97	...	-53.71	2 of 5 - Sale ²⁵
	64.000	105.28	12/03/20	152.97	...	-47.69	3 of 5 - Sale ²⁵
	5.000	8.22	12/03/20	11.05	...	-2.83	4 of 5 - Sale ²⁵
	15.000	24.67	12/07/20	32.23	...	-7.56	5 of 5 - Sale ²⁵
12/29/20	256.000	421.09	Various	591.04	...	-169.95	Total of 5 transactions
	Security total:	1,977.98		2,174.40	64.89 W	-131.53	
INNSUITES HOSPITALITY TRUST / CUSIP: 457919108 / Symbol:							
11/10/20	100.000	191.02	11/09/20	330.00	...	-138.98	Sale ²⁵

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Account 914873864

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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JANONE INC. COMMON STOCK (NV) / CUSIP: 47089W104 / Symbol:							
2 transactions for 08/28/20. Total proceeds and cost reported to the IRS.							
	1.000	7.97	08/28/20	7.74	...	0.23	1 of 2 - Sale ²⁵
	19.000	151.43	08/28/20	147.06	...	4.37	2 of 2 - Sale ²⁵
08/28/20	20.000	159.40	Various	154.80	...	4.60	Total of 2 transactions
JUST ENERGY GROUP INC. / CUSIP: 48213W101 / Symbol:							
5 transactions for 09/25/20. Total proceeds and cost reported to the IRS.							
	1.000	0.67	09/24/20	0.56	...	0.11	1 of 5 - Sale ²⁵
	29.000	19.43	09/24/20	16.24	...	3.19	2 of 5 - Sale ²⁵
	52.000	34.83	09/24/20	31.20	...	3.63	3 of 5 - Sale ²⁵
	198.000	132.64	09/24/20	118.80	...	13.84	4 of 5 - Sale ²⁵
	200.000	133.97	09/24/20	110.68	...	23.29	5 of 5 - Sale ²⁵
09/25/20	480.000	321.54	Various	277.48	...	44.06	Total of 5 transactions
JUST ENERGY GROUP INC / CUSIP: 48213W408 / Symbol:							
10 transactions for 12/03/20. Total proceeds and cost reported to the IRS.							
	15.152	73.95	09/25/20	191.60	...	-117.65	1 of 10 - Sale ²⁵
	9.091	44.37	09/25/20	144.00	...	-99.63	2 of 10 - Sale ²⁵
	1.515	7.40	09/25/20	22.50	...	-15.10	3 of 10 - Sale ²⁵
	10.606	51.77	09/28/20	103.88	...	-52.11	4 of 10 - Sale ²⁵
	7.758	37.86	09/28/20	78.85	...	-40.99	5 of 10 - Sale ²⁵
	4.121	20.11	09/28/20	41.89	...	-21.78	6 of 10 - Sale ²⁵
	1.061	5.18	09/28/20	10.76	...	-5.58	7 of 10 - Sale ²⁵
	0.242	1.18	09/28/20	2.46	...	-1.28	8 of 10 - Sale ²⁵
	38.000	185.48	09/29/20	221.54	...	-36.06	9 of 10 - Sale ²⁵
	55.000	268.45	11/13/20	269.50	...	-1.05	10 of 10 - Sale ²⁵
12/03/20	142.545	695.75	Various	1,086.98	...	-391.23	Total of 10 transactions
2 transactions for 12/03/20. Total proceeds and cost reported to the IRS.							
	15.152	73.95	09/25/20	252.00	8.19 W	-169.86	1 of 2 - Sale ²⁵
	2.303	11.24	09/25/20	38.76	27.52 W	0.00	2 of 2 - Sale ²⁵
12/03/20	17.455	85.19	Various	290.76	35.71 W	-169.86	Total of 2 transactions

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Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

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JUST ENERGY GROUP INC / CUSIP: 48213W408 / Symbol: (cont'd)							
2 transactions for 12/24/20. Total proceeds and cost reported to the IRS.							
	2.303	11.06	11/13/20	38.80	...	-27.74	1 of 2 - Sale ²⁵
	0.697	3.35	11/13/20	51.61	...	-8.26	2 of 2 - Sale ²⁵
12/24/20	3.000	14.41	Various	50.41	...	-36.00	Total of 2 transactions
	Security total:	795.35		1,428.15	35.71 W	-597.09	
KITOV PHARMA LTD. AMERICAN DEP OSITARY SHARES / CUSIP: 49803V206 / Symbol:							
3 transactions for 09/11/20. Total proceeds and cost reported to the IRS.							
	5.500	23.05	06/29/20	65.45	...	-42.40	1 of 3 - Sale ²⁵
	5.000	20.95	07/01/20	45.35	...	-24.40	2 of 3 - Sale ²⁵
	6.500	27.23	07/07/20	51.19	...	-23.96	3 of 3 - Sale ²⁵
09/11/20	17.000	71.23	Various	161.99	...	-90.76	Total of 3 transactions
LION GROUP HOLDING LTD. AMERIC AN DEPOSITARY SHARE / CUSIP: 53620U102 / Symbol:							
07/17/20	20.000	100.90	07/16/20	101.20	...	-0.30	Sale ²⁵
MEDIGUS LTD. AMERICAN DEPOSITA RY SHARES / CUSIP: 58471G300 / Symbol:							
11/11/20	100.000	229.99	11/11/20	270.99	7.79 W	-33.21	Sale ²⁵
11/13/20	19.000	36.70	11/11/20	50.73	...	-14.03	Sale ²⁵
	Security total:	266.69		321.72	7.79 W	-47.24	
NET ELEMENT, INC. COMMON STOCK / CUSIP: 64111R300 / Symbol:							
09/25/20	30.000	208.56	09/24/20	269.69	...	-61.13	Sale ²⁵
NOVAN, INC. COMMON STOCK / CUSIP: 66988N106 / Symbol:							
2 transactions for 07/10/20. Total proceeds and cost reported to the IRS.							
	500.000	255.65	06/24/20	262.50	...	-6.85	1 of 2 - Sale ²⁵
	200.000	102.26	06/25/20	97.34	...	4.92	2 of 2 - Sale ²⁵
07/10/20	700.000	357.91	Various	359.84	...	-1.93	Total of 2 transactions
OCUGEN, INC. COMMON STOCK / CUSIP: 67577C105 / Symbol:							
08/10/20	100.000	69.99	07/29/20	62.02	...	7.97	Sale ²⁵
09/14/20	155.000	50.19	09/03/20	52.41	...	-2.22	Sale ²⁵
	Security total:	120.18		114.43	...	5.75	

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Proceeds from Broker and Barter Exchange Transactions

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(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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ORBITAL ENERGY GROUP, INC. COM MON STOCK / CUSIP: 68559A109 / Symbol:							
6 transactions for 09/25/20. Total proceeds and cost reported to the IRS.							
	150.000	110.26	09/24/20	173.73	...	-63.47	1 of 6 - Sale ²⁵
	100.000	73.51	09/24/20	94.00	...	-20.49	2 of 6 - Sale ²⁵
	30.000	22.05	09/24/20	25.98	...	-3.93	3 of 6 - Sale ²⁵
	15.000	11.03	09/24/20	10.52	...	0.51	4 of 6 - Sale ²⁵
	85.000	62.48	09/24/20	59.61	...	2.87	5 of 6 - Sale ²⁵
	200.000	147.02	09/24/20	140.24	...	6.78	6 of 6 - Sale ²⁵
09/25/20	580.000	426.35	Various	504.08	...	-77.73	Total of 6 transactions
POLAR POWER, INC. COMMON STOCK / CUSIP: 73102V105 / Symbol:							
07/28/20	3.000	8.34	07/24/20	9.02	...	-0.68	Sale ²⁵
PRECIPIO, INC. COMMON STOCK / CUSIP: 74019L503 / Symbol:							
4 transactions for 07/30/20. Total proceeds and cost reported to the IRS.							
	10.000	55.00	07/30/20	42.18	...	12.82	1 of 4 - Sale ²⁵
	10.000	54.99	07/30/20	41.00	...	13.99	2 of 4 - Sale ²⁵
	20.000	110.00	07/30/20	95.00	...	15.00	3 of 4 - Sale ²⁵
	20.000	110.00	07/30/20	95.00	...	15.00	4 of 4 - Sale ²⁵
07/30/20	60.000	329.99	Various	273.18	...	56.81	Total of 4 transactions
SHIFT TECHNOLOGIES, INC. CLASS A COMMON STOCK / CUSIP: 82452T107 / Symbol:							
2 transactions for 11/20/20. Total proceeds and cost reported to the IRS.							
	39.000	264.90	11/13/20	273.00	...	-8.10	1 of 2 - Sale ²⁵
	1.000	6.79	11/13/20	7.00	...	-0.21	2 of 2 - Sale ²⁵
11/20/20	40.000	271.69	Various	280.00	...	-8.31	Total of 2 transactions
SPHERE 3D CORP. COMMON SHARES / CUSIP: 84841L308 / Symbol:							
2 transactions for 08/28/20. Total proceeds and cost reported to the IRS.							
	5.000	10.50	08/26/20	9.50	...	1.00	1 of 2 - Sale ²⁵
	100.000	209.99	08/26/20	190.00	...	19.99	2 of 2 - Sale ²⁵
08/28/20	105.000	220.49	Various	199.50	...	20.99	Total of 2 transactions

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SUMMIT WIRELESS TECHNOLOGIES, INC. COMMON STOCK / CUSIP: 86633R203 / Symbol:							
2 transactions for 07/27/20. Total proceeds and cost reported to the IRS.							
	33.000	72.93	07/22/20	76.89	...	-3.96	1 of 2 - Sale ²⁵
	22.000	48.84	07/22/20	51.26	...	-2.42	2 of 2 - Sale ²⁵
07/27/20	55.000	121.77	Various	128.15	...	-6.38	Total of 2 transactions
SUNDIAL GROWERS INC. COMMON SH ARES / CUSIP: 86730L109 / Symbol:							
7 transactions for 11/06/20. Total proceeds and cost reported to the IRS.							
	310.000	144.36	08/26/20	103.54	...	40.82	1 of 7 - Sale ²⁵
	100.000	46.57	09/14/20	28.15	...	18.42	2 of 7 - Sale ²⁵
	300.000	139.70	09/14/20	84.45	...	55.25	3 of 7 - Sale ²⁵
	100.000	46.57	09/18/20	25.06	...	21.51	4 of 7 - Sale ²⁵
	300.000	139.70	09/18/20	75.75	...	63.95	5 of 7 - Sale ²⁵
	60.000	27.94	09/24/20	11.83	...	16.11	6 of 7 - Sale ²⁵
	100.000	46.56	09/24/20	19.71	...	26.85	7 of 7 - Sale ²⁵
11/06/20	1,270.000	591.40	Various	348.49	...	242.91	Total of 7 transactions
11/06/20	360.000	167.64	08/12/20	199.80	32.16 W	0.00	Sale ²⁵
13 transactions for 11/09/20. Total proceeds and cost reported to the IRS.							
	28.000	16.52	11/06/20	8.96	...	7.56	1 of 13 - Sale ²⁵
	30.000	17.70	11/06/20	9.60	...	8.10	2 of 13 - Sale ²⁵
	60.000	35.39	11/06/20	24.56	...	10.83	3 of 13 - Sale ²⁵
	70.000	41.29	11/06/20	28.65	...	12.64	4 of 13 - Sale ²⁵
	50.000	29.49	11/06/20	16.00	...	13.49	5 of 13 - Sale ²⁵
	75.000	44.24	11/06/20	23.03	...	21.21	6 of 13 - Sale ²⁵
	80.000	47.19	11/06/20	25.60	...	21.59	7 of 13 - Sale ²⁵
	100.000	58.99	11/06/20	32.00	...	26.99	8 of 13 - Sale ²⁵
	114.000	67.25	11/06/20	36.48	...	30.77	9 of 13 - Sale ²⁵
	112.000	66.74	11/06/20	35.84	...	30.90	10 of 13 - Sale ²⁵
	230.000	137.40	11/06/20	94.15	...	43.25	11 of 13 - Sale ²⁵
	240.000	141.57	11/06/20	76.80	...	64.77	12 of 13 - Sale ²⁵
	1,186.000	699.58	11/06/20	379.52	...	320.06	13 of 13 - Sale ²⁵
11/09/20	2,375.000	1,403.35	Various	791.19	...	612.16	Total of 13 transactions

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SUNDIAL GROWERS INC. COMMON SH ARES / CUSIP: 86730L109 / Symbol: (cont'd)							
22 transactions for 11/30/20. Total proceeds and cost reported to the IRS.							
	92.000	45.90	11/10/20	33.49	...	12.41	1 of 22 - Sale ²⁵
	100.000	49.89	11/10/20	36.40	...	13.49	2 of 22 - Sale ²⁵
	808.000	403.09	11/10/20	294.11	...	108.98	3 of 22 - Sale ²⁵
	78.000	38.91	11/12/20	23.40	...	15.51	4 of 22 - Sale ²⁵
	100.000	49.89	11/12/20	30.00	...	19.89	5 of 22 - Sale ²⁵
	222.000	110.75	11/12/20	66.60	...	44.15	6 of 22 - Sale ²⁵
	300.000	149.66	11/12/20	90.00	...	59.66	7 of 22 - Sale ²⁵
	300.000	149.67	11/12/20	90.00	...	59.67	8 of 22 - Sale ²⁵
	11.000	5.49	11/17/20	2.67	...	2.82	9 of 22 - Sale ²⁵
	100.000	49.89	11/17/20	24.30	...	25.59	10 of 22 - Sale ²⁵
	122.000	60.86	11/17/20	29.65	...	31.21	11 of 22 - Sale ²⁵
	278.000	138.68	11/17/20	67.55	...	71.13	12 of 22 - Sale ²⁵
	489.000	243.94	11/17/20	118.83	...	125.11	13 of 22 - Sale ²⁵
	26.000	12.97	11/23/20	6.29	...	6.68	14 of 22 - Sale ²⁵
	28.000	13.97	11/23/20	6.78	...	7.19	15 of 22 - Sale ²⁵
	28.000	13.97	11/23/20	6.78	...	7.19	16 of 22 - Sale ²⁵
	70.000	34.92	11/23/20	16.94	...	17.98	17 of 22 - Sale ²⁵
	72.000	35.92	11/23/20	17.42	...	18.50	18 of 22 - Sale ²⁵
	200.000	99.77	11/23/20	48.40	...	51.37	19 of 22 - Sale ²⁵
	272.000	135.69	11/23/20	65.82	...	69.87	20 of 22 - Sale ²⁵
	274.000	136.69	11/23/20	66.31	...	70.38	21 of 22 - Sale ²⁵
	300.000	149.66	11/23/20	72.60	...	77.06	22 of 22 - Sale ²⁵
11/30/20	4,270.000	2,130.18	Various	1,214.34	...	915.84	Total of 22 transactions
	Security total:	4,292.57		2,553.82	32.16 W	1,770.91	
SUNWORKS, INC. COMMON STOCK / CUSIP: 86803X204 / Symbol:							
2 transactions for 07/01/20. Total proceeds and cost reported to the IRS.							
	10.000	10.61	07/01/20	10.60	...	0.01	1 of 2 - Sale ²⁵
	30.000	31.84	07/01/20	31.13	...	0.71	2 of 2 - Sale ²⁵
07/01/20	40.000	42.45	Various	41.73	...	0.72	Total of 2 transactions
07/01/20	40.000	41.30	07/01/20	42.40	0.83 W	-0.27	Sale ²⁵
	Security total:	83.75		84.13	0.83 W	0.45	

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Robinhood Securities LLC

Account 914873864

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
TECHNICAL COMMUNICATIONS CORP COMMON STOCK / CUSIP: 878409101 / Symbol:							
4 transactions for 09/14/20. Total proceeds and cost reported to the IRS.							
	30.000	98.70	07/30/20	175.35	...	-76.65	1 of 4 - Sale ²⁵
	20.000	65.80	07/30/20	127.00	...	-61.20	2 of 4 - Sale ²⁵
	2.000	6.58	08/14/20	8.20	...	-1.62	3 of 4 - Sale ²⁵
	1.000	3.29	08/14/20	4.10	...	-0.81	4 of 4 - Sale ²⁵
09/14/20	53.000	174.37	Various	314.65	...	-140.28	Total of 4 transactions
T2 BIOSYSTEMS, INC. COMMON STO CK / CUSIP: 89853L104 / Symbol:							
07/01/20	45.000	91.35	07/01/20	99.00	2.55 W	-5.10	Sale ²⁵
07/28/20	15.000	22.88	07/17/20	28.50	...	-5.62	Sale ²⁵
	Security total:	114.23		127.50	2.55 W	-10.72	
UNITED MICROELECTRONIC CORP. / CUSIP: 910873405 / Symbol:							
07/29/20	50.000	188.75	07/22/20	148.75	...	40.00	Sale ²⁵
U.S. WELL SERVICES, INC. CLASS A COMMON STOCK / CUSIP: 91274U101 / Symbol:							
3 transactions for 10/09/20. Total proceeds and cost reported to the IRS.							
	100.000	42.49	10/08/20	36.98	...	5.51	1 of 3 - Sale ²⁵
	105.000	44.62	10/08/20	38.83	...	5.79	2 of 3 - Sale ²⁵
	395.000	167.83	10/08/20	146.07	...	21.76	3 of 3 - Sale ²⁵
10/09/20	600.000	254.94	Various	221.88	...	33.06	Total of 3 transactions
URBAN ONE, INC. CLASS D COMMON STOCK / CUSIP: 91705J204 / Symbol:							
2 transactions for 09/28/20. Total proceeds and cost reported to the IRS.							
	16.000	24.00	09/25/20	24.80	...	-0.80	1 of 2 - Sale ²⁵
	140.000	209.98	09/28/20	190.40	...	19.58	2 of 2 - Sale ²⁵
09/28/20	156.000	233.98	Various	215.20	...	18.78	Total of 2 transactions
VAXART, INC COMMON STOCK / CUSIP: 92243A200 / Symbol:							
07/07/20	30.000	234.75	07/06/20	195.75	...	39.00	Sale ²⁵
WESTWATER RESOURCES, INC. COMM ON STOCK / CUSIP: 961684206 / Symbol:							
4 transactions for 11/16/20. Total proceeds and cost reported to the IRS.							
	31.000	192.20	10/09/20	246.45	...	-54.25	1 of 4 - Sale ²⁵
	6.000	36.79	10/09/20	47.70	...	-10.91	2 of 4 - Sale ²⁵

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Robinhood Securities LLC

Account 914873864

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
WESTWATER RESOURCES, INC. COMM ON STOCK / CUSIP: 961684206 / Symbol: (cont'd)							
	0.800	4.98	10/09/20	6.36	...	-1.38	3 of 4 - Sale ²⁵
	0.200	1.23	10/09/20	1.59	...	-0.36	4 of 4 - Sale ²⁵
11/16/20	38.000	235.20	Various	302.10	...	-66.90	Total of 4 transactions
WORKHORSE GROUP, INC. COMMON S TOCK / CUSIP: 98138J206 / Symbol:							
07/08/20	10.000	161.21	07/07/20	155.30	...	5.91	Sale ²⁵
XPRESSPA GROUP, INC. COMMON ST OCK / CUSIP: 98420U703 / Symbol:							
08/25/20	85.000	305.98	08/14/20	259.68	...	46.30	Sale ²⁵
	2 transactions for 08/25/20. Total proceeds and cost reported to the IRS.						
	32.000	115.19	08/03/20	137.60	22.41 W	0.00	1 of 2 - Sale ²⁵
	22.000	79.19	08/11/20	79.20	0.01 W	0.00	2 of 2 - Sale ²⁵
08/25/20	54.000	194.38	Various	216.80	22.42 W	0.00	Total of 2 transactions
	4 transactions for 09/24/20. Total proceeds and cost reported to the IRS.						
	32.000	56.96	08/26/20	105.61	...	-48.65	1 of 4 - Sale ²⁵
	50.000	89.00	08/26/20	130.00	...	-41.00	2 of 4 - Sale ²⁵
	46.000	81.88	08/26/20	119.60	...	-37.72	3 of 4 - Sale ²⁵
	22.000	39.16	08/26/20	57.21	...	-18.05	4 of 4 - Sale ²⁵
09/24/20	150.000	267.00	Various	412.42	...	-145.42	Total of 4 transactions
	Security total:	767.36		888.90	22.42 W	-99.12	
ATIF HOLDINGS LIMITED ORDINARY SHARES / CUSIP: G0602B100 / Symbol:							
11/23/20	49.000	35.65	11/18/20	35.43	...	0.22	Sale ²⁵
HERMITAGE OFFSHORE SERVICES LT D. / CUSIP: G4511M108 / Symbol:							
	3 transactions for 12/30/20. Total proceeds and cost reported to the IRS.						
	290.000	10.71	09/03/20	202.65	...	-191.94	1 of 3 - Sale ²⁵
	200.000	7.38	09/23/20	90.00	...	-82.62	2 of 3 - Sale ²⁵
	46.000	1.70	09/23/20	20.24	...	-18.54	3 of 3 - Sale ²⁵
12/30/20	536.000	19.79	Various	312.89	...	-293.10	Total of 3 transactions
KAIXIN AUTO HOLDINGS ORDINARY SHARE / CUSIP: G5223X100 / Symbol:							
12/09/20	100.000	404.99	12/07/20	469.00	64.01 W	0.00	Sale ²⁵

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Robinhood Securities LLC

Account 914873864

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
TAOPING INC. ORDINARY SHARES / CUSIP: G8675V119 / Symbol:							
4 transactions for 07/30/20. Total proceeds and cost reported to the IRS.							
	3.000	25.77	07/30/20	19.80	...	5.97	1 of 4 - Sale ²⁵
	8.000	62.56	07/30/20	55.80	...	6.76	2 of 4 - Sale ²⁵
	25.000	121.50	07/30/20	101.25	...	20.25	3 of 4 - Sale ²⁵
	22.000	172.04	07/30/20	145.20	...	26.84	4 of 4 - Sale ²⁵
07/30/20	58.000	381.87	Various	322.05	...	59.82	Total of 4 transactions
URBAN TEA, INC. ORDINARY SHARE S / CUSIP: G9396G118 / Symbol:							
09/11/20	5.000	8.32	07/13/20	31.68	...	-23.36	Sale ²⁵
VALARIS PLC ORDINARY SHARES / CUSIP: G9402V109 / Symbol:							
2 transactions for 07/15/20. Total proceeds and cost reported to the IRS.							
	25.000	15.99	07/08/20	14.91	...	1.08	1 of 2 - Sale ²⁵
	75.000	47.99	07/08/20	44.74	...	3.25	2 of 2 - Sale ²⁵
07/15/20	100.000	63.98	Various	59.65	...	4.33	Total of 2 transactions
07/15/20	100.000	63.98	06/24/20	64.20	0.22 W	0.00	Sale ²⁵
5 transactions for 07/22/20. Total proceeds and cost reported to the IRS.							
	25.000	17.68	07/08/20	14.97	...	2.71	1 of 5 - Sale ²⁵
	25.000	17.68	07/08/20	14.91	...	2.77	2 of 5 - Sale ²⁵
	75.000	53.04	07/08/20	44.90	...	8.14	3 of 5 - Sale ²⁵
	75.000	53.04	07/08/20	44.74	...	8.30	4 of 5 - Sale ²⁵
	100.000	70.72	07/08/20	59.65	...	11.07	5 of 5 - Sale ²⁵
07/22/20	300.000	212.16	Various	179.17	...	32.99	Total of 5 transactions
	Security total:	340.12		303.02	0.22 W	37.32	
PERFORMANCE SHIPPING INC. COMM ON SHARES / CUSIP: Y67305105 / Symbol:							
3 transactions for 10/09/20. Total proceeds and cost reported to the IRS.							
	3.000	2.85	10/09/20	2.48	...	0.37	1 of 3 - Sale ²⁵
	50.000	47.50	10/09/20	41.35	...	6.15	2 of 3 - Sale ²⁵
	147.000	139.63	10/09/20	121.57	...	18.06	3 of 3 - Sale ²⁵
10/09/20	200.000	189.98	Various	165.40	...	24.58	Total of 3 transactions

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Robinhood Securities LLC

Account 914873864

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
TOP SHIPS, INC. COMMON STOCK / CUSIP: Y8897Y180 / Symbol:							
09/11/20	40.000	44.06	07/08/20	112.10	...	-68.04	Sale ²⁵
Totals :		30,065.47		29,236.98	241.13 W	1,069.62	

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

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

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

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
SUNPOWER CORPORATION COMMON ST OCK / CUSIP: 867652406 / Symbol:							
08/10/20	1.000	12.39	03/26/19	6.09	...	6.30	Sale ²⁵
Totals :		12.39		6.09		6.30	

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Robinhood Securities LLC

Account 914873864

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
JUST ENERGY GROUP INC / CUSIP: 48213W408 / Symbol:							
10/05/20	0.121	0.86	09/25/20	2.04	...	-1.18	Gain or loss
KITOV PHARMA LTD. AMERICAN DEP OSITARY SHARES / CUSIP: 49803V206 / Symbol:							
08/27/20	0.900	4.23	06/29/20	10.71	...	-6.48	Gain or loss
Totals:		5.09		12.75	...	-7.66	

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.