

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 990636185	Statement Date: 02/14/2021 Document ID: 3743 31M U3G1	2020
	Harinath reddy Mora 900 Fairway Dr 106 Naperville, IL 60563 RECIPIENT'S TIN: XXX-XX-8706		

Summary Information

<p>DIVIDENDS AND DISTRIBUTIONS 2020 1099-DIV* OMB No. 1545-0110</p> <p>1a- Total ordinary dividends (includes lines 1b, 5) 17.25</p> <p>1b- Qualified dividends 14.92</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)	136,600.68	159,594.78	0.00	12,520.56	-10,473.54
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)	9.76	17.41	0.00	0.00	-7.65
	Total Short-term	136,610.44	159,612.19	0.00	12,520.56	-10,481.19
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	136,610.44	159,612.19	0.00	12,520.56	-10,481.19
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.

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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	1.89
Other Receipts & Reconciliations- Deemed premium	0.00
Other Receipts & Reconciliations- Income accrual- UIT	0.00
Other Receipts & Reconciliations- Basis adjustments	0.00
Other Receipts & Reconciliations- Foreign tax pd beyond treaty	0.00
Fees & Expenses- Margin interest	25.00
Fees & Expenses- Dividends paid on short position	0.00
Fees & Expenses- Interest paid on short position	0.00
Fees & Expenses- Non reportable distribution expense	0.00
Fees & Expenses- Other expenses	0.00
Fees & Expenses- Severance tax	0.00
Fees & Expenses- Organizational expense	0.00
Fees & Expenses- Miscellaneous fees	0.00
Fees & Expenses- Tax-exempt investment expense	0.00
Foreign Exchange Gains & Losses- Foreign currency gain/loss	0.00

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Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

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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
ACTINIUM PHARMACEUTICALS, INC / CUSIP: 00507W107 / Symbol:							
3 transactions for 02/11/20. Total proceeds and cost reported to the IRS.							
	5,000.000	1,154.87	02/10/20	1,200.50	...	-45.63	1 of 3 - Sale ²⁵
	1,000.000	230.98	02/10/20	240.70	...	-9.72	2 of 3 - Sale ²⁵
	500.000	115.49	02/10/20	120.73	...	-5.24	3 of 3 - Sale ²⁵
02/11/20	6,500.000	1,501.34	Various	1,561.93	...	-60.59	Total of 3 transactions
ADVANCED EMISSIONS SOLUTIONS, INC. COMMON STOCK / CUSIP: 00770C101 / Symbol:							
05/18/20	1.000	5.06	02/03/20	11.46	...	-6.40	Sale ²⁵
ADVANCED MICRO DEVICES, INC. C OMMON STOCK / CUSIP: 007903107 / Symbol:							
01/27/20	8.000	396.33	01/15/20	389.40	...	6.93	Sale ²⁵
AETHLON MEDICAL, INC. COMMON S TOCK / CUSIP: 00808Y307 / Symbol:							
07/21/20	5.000	11.70	01/27/20	20.45	...	-8.75	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
AIKIDO PHARMA INC. COMMON STOC K / CUSIP: 008875106 / Symbol:							
5 transactions for 04/14/20. Total proceeds and cost reported to the IRS.							
	95.000	97.84	04/14/20	380.96	...	-283.12	1 of 5 - Sale ²⁵
	95.000	100.69	04/14/20	380.95	...	-280.26	2 of 5 - Sale ²⁵
	100.000	102.99	04/14/20	363.52	...	-260.53	3 of 5 - Sale ²⁵
	105.000	111.28	04/14/20	263.54	...	-152.26	4 of 5 - Sale ²⁵
	5.000	5.15	04/14/20	26.20	...	-21.05	5 of 5 - Sale ²⁵
04/14/20	400.000	417.95	Various	1,415.17	...	-997.22	Total of 5 transactions
4 transactions for 04/14/20. Total proceeds and cost reported to the IRS.							
	682.000	722.81	04/14/20	1,745.92	292.54 W	-730.57	1 of 4 - Sale ²⁵
	5.000	5.30	04/14/20	11.45	6.15 W	0.00	2 of 4 - Sale ²⁵
	95.000	100.69	04/14/20	243.20	142.51 W	0.00	3 of 4 - Sale ²⁵
	5.000	5.30	04/14/20	18.95	13.65 W	0.00	4 of 4 - Sale ²⁵
04/14/20	787.000	834.10	Various	2,019.52	454.85 W	-730.57	Total of 4 transactions
	Security total:	1,252.05		3,434.69	454.85 W	-1,727.79	
AIMMUNE THERAPEUTICS, INC. COM MON STOCK / CUSIP: 00900T107 / Symbol:							
2 transactions for 03/03/20. Total proceeds and cost reported to the IRS.							
	4.000	95.00	02/03/20	131.74	...	-36.74	1 of 2 - Sale ²⁵
	1.000	23.75	02/03/20	32.93	...	-9.18	2 of 2 - Sale ²⁵
03/03/20	5.000	118.75	Various	164.67	...	-45.92	Total of 2 transactions
AMERICAN AIRLINES GROUP INC. C OMMON STOCK / CUSIP: 02376R102 / Symbol:							
2 transactions for 06/04/20. Total proceeds and cost reported to the IRS.							
	10.000	131.40	04/03/20	96.70	...	34.70	1 of 2 - Sale ²⁵
	7.000	91.98	04/09/20	87.15	...	4.83	2 of 2 - Sale ²⁵
06/04/20	17.000	223.38	Various	183.85	...	39.53	Total of 2 transactions
07/21/20	18.000	209.34	04/09/20	224.10	...	-14.76	Sale ²⁵
	Security total:	432.72		407.95	...	24.77	
APHRIA INC. COMMON SHARES / CUSIP: 03765K104 / Symbol:							
11 transactions for 12/22/20. Total proceeds and cost reported to the IRS.							
	0.075	0.52	10/12/20	0.48	...	0.04	1 of 11 - Sale ²⁵
	0.079	0.58	10/12/20	0.51	...	0.07	2 of 11 - 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
APHRIA INC. COMMON SHARES / CUSIP: 03765K104 / Symbol: (cont'd)							
	0.514	3.75	10/12/20	3.30	...	0.45	3 of 11 - Sale ²⁵
	77.232	563.77	10/12/20	495.71	...	68.06	4 of 11 - Sale ²⁵
	0.024	0.18	10/15/20	0.12	...	0.06	5 of 11 - Sale ²⁵
	7.239	53.07	10/15/20	37.19	...	15.88	6 of 11 - Sale ²⁵
	8.976	65.80	10/15/20	43.04	...	22.76	7 of 11 - Sale ²⁵
	31.665	231.14	10/15/20	162.69	...	68.45	8 of 11 - Sale ²⁵
	0.110	0.81	11/24/20	0.75	...	0.06	9 of 11 - Sale ²⁵
	0.194	1.42	11/24/20	1.32	...	0.10	10 of 11 - Sale ²⁵
	28.982	212.47	11/24/20	197.93	...	14.54	11 of 11 - Sale ²⁵
12/22/20	155.090	1,133.51	Various	943.04	...	190.47	Total of 11 transactions
	8 transactions for 12/22/20. Total proceeds and cost reported to the IRS.						
	0.461	3.38	11/30/20	3.70	0.32 W	0.00	1 of 8 - Sale ²⁵
	11.978	87.81	11/30/20	96.30	8.49 W	0.00	2 of 8 - Sale ²⁵
	0.655	4.80	11/30/20	5.53	0.73 W	0.00	3 of 8 - Sale ²⁵
	22.993	168.56	11/30/20	194.47	25.91 W	0.00	4 of 8 - Sale ²⁵
	0.009	0.07	11/30/20	0.08	0.01 W	0.00	5 of 8 - Sale ²⁵
	11.786	86.40	11/30/20	99.92	13.52 W	0.00	6 of 8 - Sale ²⁵
	0.184	1.35	12/10/20	1.50	0.15 W	0.00	7 of 8 - Sale ²⁵
	26.986	197.83	12/10/20	221.27	23.44 W	0.00	8 of 8 - Sale ²⁵
12/22/20	75.050	550.20	Various	622.77	72.57 W	0.00	Total of 8 transactions
	Security total:	1,683.71		1,565.81	72.57 W	190.47	
APPLE INC. COMMON STOCK / CUSIP: 037833100 / Symbol:							
01/23/20	1.000	319.42	01/10/20	310.36	...	9.06	Sale ²⁵
01/27/20	2.000	617.80	01/10/20	620.72	2.92 W	0.00	Sale ²⁵
	2 transactions for 02/03/20. Total proceeds and cost reported to the IRS.						
	2.000	618.74	01/31/20	622.15	3.41 W	0.00	1 of 2 - Sale ²⁵
	3.000	928.12	01/31/20	928.84	0.72 W	0.00	2 of 2 - Sale ²⁵
02/03/20	5.000	1,546.86	Various	1,550.99	4.13 W	0.00	Total of 2 transactions
	4 transactions for 03/02/20. Total proceeds and cost reported to the IRS.						
	6.000	1,677.38	02/24/20	1,816.66	...	-139.28	1 of 4 - Sale ²⁵
	4.000	1,118.13	02/24/20	1,211.10	...	-92.97	2 of 4 - Sale ²⁵
	2.000	558.58	02/24/20	647.46	...	-88.88	3 of 4 - 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
APPLE INC. COMMON STOCK / CUSIP: 037833100 / Symbol: (cont'd)							
	3.000	838.69	02/24/20	909.05	...	-70.36	4 of 4 - Sale ²⁵
03/02/20	15.000	4,192.78	Various	4,584.27	...	-391.49	Total of 4 transactions
03/02/20	2.000	559.13	02/24/20	608.96	49.83 W	0.00	Sale ²⁵
	2 transactions for 10/13/20. Total proceeds and cost reported to the IRS.						
	5.000	606.63	09/02/20	653.40	...	-46.77	1 of 2 - Sale ²⁵
	5.000	614.68	09/02/20	653.40	...	-38.72	2 of 2 - Sale ²⁵
10/13/20	10.000	1,221.31	Various	1,306.80	...	-85.49	Total of 2 transactions
	Security total:	8,457.30		8,982.10	56.88 W	-467.92	
AVITA MEDICAL LIMITED AMERICAN DEPOSITARY SHARES / CUSIP: 053792107 / Symbol:							
05/18/20	2.000	12.45	01/15/20	20.46	...	-8.01	Sale ²⁵
AYTU BIOSCIENCE, INC. COMMON S TOCK / CUSIP: 054754700 / Symbol:							
	3 transactions for 03/24/20. Total proceeds and cost reported to the IRS.						
	150.000	284.98	03/23/20	270.00	...	14.98	1 of 3 - Sale ²⁵
	850.000	1,614.86	03/23/20	1,530.00	...	84.86	2 of 3 - Sale ²⁵
	1,000.000	1,899.83	03/23/20	1,800.00	...	99.83	3 of 3 - Sale ²⁵
03/24/20	2,000.000	3,799.67	Various	3,600.00	...	199.67	Total of 3 transactions
	3 transactions for 03/30/20. Total proceeds and cost reported to the IRS.						
	50.000	84.00	03/24/20	97.50	13.50 W	0.00	1 of 3 - Sale ²⁵
	300.000	503.94	03/24/20	584.97	81.03 W	0.00	2 of 3 - Sale ²⁵
	650.000	1,091.89	03/24/20	1,267.44	175.55 W	0.00	3 of 3 - Sale ²⁵
03/30/20	1,000.000	1,679.83	Various	1,949.91	270.08 W	0.00	Total of 3 transactions
	8 transactions for 04/14/20. Total proceeds and cost reported to the IRS.						
	210.000	279.27	03/24/20	457.81	...	-178.54	1 of 8 - Sale ²⁵
	100.000	132.98	03/24/20	221.00	...	-88.02	2 of 8 - Sale ²⁵
	90.000	119.69	03/24/20	196.21	...	-76.52	3 of 8 - Sale ²⁵
	100.000	132.98	03/25/20	196.95	...	-63.97	4 of 8 - Sale ²⁵
	137.000	182.19	03/30/20	319.21	...	-137.02	5 of 8 - Sale ²⁵
	150.000	199.48	03/30/20	297.01	...	-97.53	6 of 8 - Sale ²⁵
	78.000	103.73	03/30/20	181.73	...	-78.00	7 of 8 - Sale ²⁵
	35.000	46.54	03/30/20	90.65	...	-44.11	8 of 8 - Sale ²⁵
04/14/20	900.000	1,196.86	Various	1,960.57	...	-763.71	Total of 8 transactions

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Robinhood Securities LLC

Account 990636185

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
AYTU BIOSCIENCE, INC. COMMON S TOCK / CUSIP: 054754700 / Symbol: (cont'd)							
<i>4 transactions for 04/14/20. Total proceeds and cost reported to the IRS.</i>							
	300.000	398.96	03/24/20	663.00	132.02 W	-132.02	1 of 4 - Sale ²⁵
	250.000	332.47	03/24/20	487.47	155.00 W	0.00	2 of 4 - Sale ²⁵
	35.000	46.55	03/24/20	77.35	30.80 W	0.00	3 of 4 - Sale ²⁵
	15.000	19.95	03/24/20	33.15	13.20 W	0.00	4 of 4 - Sale ²⁵
04/14/20	600.000	797.93	Various	1,260.97	331.02 W	-132.02	Total of 4 transactions
<i>4 transactions for 04/15/20. Total proceeds and cost reported to the IRS.</i>							
	50.000	79.99	03/30/20	129.50	...	-49.51	1 of 4 - Sale ²⁵
	35.000	56.00	03/30/20	81.55	...	-25.55	2 of 4 - Sale ²⁵
	15.000	24.00	03/30/20	38.85	...	-14.85	3 of 4 - Sale ²⁵
	100.000	159.99	04/03/20	247.00	...	-87.01	4 of 4 - Sale ²⁵
04/15/20	200.000	319.98	Various	496.90	...	-176.92	Total of 4 transactions
	Security total:	7,794.27		9,268.35	601.10 W	-872.98	
BILIBILI INC. AMERICAN DEPOSIT ARY SHARES / CUSIP: 090040106 / Symbol:							
<i>4 transactions for 02/07/20. Total proceeds and cost reported to the IRS.</i>							
	17.000	425.56	01/27/20	380.41	...	45.15	1 of 4 - Sale ²⁵
	20.000	500.67	01/27/20	446.20	...	54.47	2 of 4 - Sale ²⁵
	3.000	75.10	01/30/20	66.33	...	8.77	3 of 4 - Sale ²⁵
	8.000	199.78	01/30/20	176.88	...	22.90	4 of 4 - Sale ²⁵
02/07/20	48.000	1,201.11	Various	1,069.82	...	131.29	Total of 4 transactions
03/06/20	2.000	54.76	01/30/20	44.22	...	10.54	Sale ²⁵
	Security total:	1,255.87		1,114.04	...	141.83	
BIOCEPT, INC. COMMON STOCK / CUSIP: 09072V402 / Symbol:							
<i>2 transactions for 03/10/20. Total proceeds and cost reported to the IRS.</i>							
	50.000	18.54	02/10/20	17.80	...	0.74	1 of 2 - Sale ²⁵
	100.000	37.09	02/10/20	35.59	...	1.50	2 of 2 - Sale ²⁵
03/10/20	150.000	55.63	Various	53.39	...	2.24	Total of 2 transactions
BOXLIGHT CORPORATION CLASS A C OMMON STOCK / CUSIP: 103197109 / Symbol:							
10/01/20	50.000	80.50	09/28/20	85.50	...	-5.00	Sale ²⁵

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Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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CHF SOLUTIONS, INC. COMMON STO CK / CUSIP: 12542Q706 / Symbol:							
2 transactions for 03/05/20. Total proceeds and cost reported to the IRS.							
	100.000	44.69	02/07/20	43.50	...	1.19	1 of 2 - Sale ²⁵
	200.000	89.98	02/07/20	87.00	...	2.98	2 of 2 - Sale ²⁵
03/05/20	300.000	134.67	Various	130.50	...	4.17	Total of 2 transactions
CLEVELAND BIOLABS, INC. COMMON STOCK / CUSIP: 185860202 / Symbol:							
01/28/20	8.000	25.76	01/27/20	37.36	...	-11.60	Sale ²⁵
CO-DIAGNOSTICS, INC. COMMON ST OCK / CUSIP: 189763105 / Symbol:							
02/19/20	3.000	9.03	02/10/20	11.73	...	-2.70	Sale ²⁵
COMSTOCK MINING INC. / CUSIP: 205750300 / Symbol:							
02/07/20	100.000	70.00	02/03/20	82.95	...	-12.95	Sale ²⁵
DELTA AIR LINES, INC. / CUSIP: 247361702 / Symbol:							
06/04/20	5.000	149.31	04/09/20	124.10	...	25.21	Sale ²⁵
07/21/20	5.000	133.06	04/09/20	124.10	...	8.96	Sale ²⁵
	Security total:	282.37		248.20	...	34.17	
DIAMOND EAGLE ACQUISITION CORP . CLASS A COMMON STOCK / CUSIP: 25258L109 / Symbol:							
2 transactions for 02/18/20. Total proceeds and cost reported to the IRS.							
	4.000	68.60	01/10/20	48.84	...	19.76	1 of 2 - Sale ²⁵
	1.000	17.15	01/17/20	13.23	...	3.92	2 of 2 - Sale ²⁵
02/18/20	5.000	85.75	Various	62.07	...	23.68	Total of 2 transactions
DIGITAL TURBINE, INC. COMMON S TOCK / CUSIP: 25400W102 / Symbol:							
9 transactions for 11/06/20. Total proceeds and cost reported to the IRS.							
	0.008	0.31	10/12/20	0.29	...	0.02	1 of 9 - Sale ²⁵
	0.075	3.05	10/12/20	2.85	...	0.20	2 of 9 - Sale ²⁵
	0.114	4.63	10/12/20	4.32	...	0.31	3 of 9 - Sale ²⁵
	0.375	15.23	10/12/20	14.44	...	0.79	4 of 9 - Sale ²⁵
	15.000	609.13	10/12/20	577.06	...	32.07	5 of 9 - Sale ²⁵
	12.986	527.36	10/12/20	492.83	...	34.53	6 of 9 - Sale ²⁵
	0.511	20.76	10/15/20	19.63	...	1.13	7 of 9 - Sale ²⁵
	5.996	243.50	10/15/20	230.37	...	13.13	8 of 9 - Sale ²⁵

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Account 990636185

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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DIGITAL TURBINE, INC. COMMON S TOCK / CUSIP: 25400W102 / Symbol: (cont'd)							
	13.043	529.66	10/15/20	500.00	...	29.66	9 of 9 - Sale ²⁵
11/06/20	48.108	1,953.63	Various	1,841.79	...	111.84	Total of 9 transactions
	2 transactions for 11/06/20. Total proceeds and cost reported to the IRS.						
	11.998	487.22	10/14/20	499.68	12.15 W	-0.31	1 of 2 - Sale ²⁵
	0.008	0.31	10/14/20	0.32	0.01 W	0.00	2 of 2 - Sale ²⁵
11/06/20	12.006	487.53	Various	500.00	12.16 W	-0.31	Total of 2 transactions
	2 transactions for 12/01/20. Total proceeds and cost reported to the IRS.						
	11.702	508.32	11/06/20	511.82	...	-3.50	1 of 2 - Sale ²⁵
	0.008	0.33	11/06/20	0.34	...	-0.01	2 of 2 - Sale ²⁵
12/01/20	11.710	508.65	Various	512.16	...	-3.51	Total of 2 transactions
	Security total:	2,949.81		2,853.95	12.16 W	108.02	
DRAFTKINGS INC. CLASS A COMMON STOCK / CUSIP: 26142R104 / Symbol:							
11/27/20	3.813	199.70	10/07/20	200.00	...	-0.30	Sale ²⁵
ELECTRAMECCANICA VEHICLES CORP . LTD. COMMON STOCK / CUSIP: 284849205 / Symbol:							
11/24/20	5.456	40.92	11/20/20	50.00	...	-9.08	Sale ²⁵
ENDRA LIFE SCIENCES INC. COMMO N STOCK / CUSIP: 29273B104 / Symbol:							
	10 transactions for 03/03/20. Total proceeds and cost reported to the IRS.						
	1.000	1.10	01/15/20	1.94	...	-0.84	1 of 10 - Sale ²⁵
	2.000	2.20	01/16/20	3.54	...	-1.34	2 of 10 - Sale ²⁵
	5.000	5.51	01/17/20	9.30	...	-3.79	3 of 10 - Sale ²⁵
	300.000	330.59	01/22/20	601.62	...	-271.03	4 of 10 - Sale ²⁵
	4.000	4.41	01/28/20	6.38	...	-1.97	5 of 10 - Sale ²⁵
	17.000	18.73	01/29/20	25.16	...	-6.43	6 of 10 - Sale ²⁵
	144.000	158.68	01/30/20	211.68	...	-53.00	7 of 10 - Sale ²⁵
	50.000	55.10	01/30/20	77.00	...	-21.90	8 of 10 - Sale ²⁵
	56.000	61.71	01/30/20	82.32	...	-20.61	9 of 10 - Sale ²⁵
	10.000	11.02	01/31/20	14.50	...	-3.48	10 of 10 - Sale ²⁵
03/03/20	589.000	649.05	Various	1,033.44	...	-384.39	Total of 10 transactions
03/03/20	11.000	12.12	01/10/20	19.25	1.30 W	-5.83	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)

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ENDRA LIFE SCIENCES INC. COMMO N STOCK / CUSIP: 29273B104 / Symbol: (cont'd)							
2 transactions for 03/05/20. Total proceeds and cost reported to the IRS.							
	100.000	113.69	01/31/20	145.00	...	-31.31	1 of 2 - Sale ²⁵
	2.000	2.27	02/03/20	4.30	...	-2.03	2 of 2 - Sale ²⁵
03/05/20	102.000	115.96	Various	149.30	...	-33.34	Total of 2 transactions
	Security total:	777.13		1,201.99	1.30 W	-423.56	
ENPHASE ENERGY, INC. COMMON ST OCK / CUSIP: 29355A107 / Symbol:							
2 transactions for 01/27/20. Total proceeds and cost reported to the IRS.							
	2.000	60.00	01/15/20	58.80	...	1.20	1 of 2 - Sale ²⁵
	18.000	543.45	01/15/20	529.20	...	14.25	2 of 2 - Sale ²⁵
01/27/20	20.000	603.45	Various	588.00	...	15.45	Total of 2 transactions
2 transactions for 02/07/20. Total proceeds and cost reported to the IRS.							
	10.000	385.45	01/30/20	329.76	...	55.69	1 of 2 - Sale ²⁵
	10.000	380.44	01/31/20	315.57	...	64.87	2 of 2 - Sale ²⁵
02/07/20	20.000	765.89	Various	645.33	...	120.56	Total of 2 transactions
02/20/20	75.000	4,113.53	02/19/20	3,973.13	...	140.40	Sale ²⁵
02/24/20	34.000	1,835.95	02/19/20	1,801.15	...	34.80	Sale ²⁵
5 transactions for 09/24/20. Total proceeds and cost reported to the IRS.							
	0.097	6.68	09/22/20	6.71	0.03 W	0.00	1 of 5 - Sale ²⁵
	0.501	34.61	09/22/20	34.83	0.22 W	0.00	2 of 5 - Sale ²⁵
	0.097	6.67	09/22/20	6.75	0.08 W	0.00	3 of 5 - Sale ²⁵
	2.901	200.31	09/22/20	201.74	1.43 W	0.00	4 of 5 - Sale ²⁵
	4.501	310.75	09/22/20	321.22	10.47 W	0.00	5 of 5 - Sale ²⁵
09/24/20	8.097	559.02	Various	571.25	12.23 W	0.00	Total of 5 transactions
9 transactions for 10/02/20. Total proceeds and cost reported to the IRS.							
	0.037	3.26	09/25/20	2.65	...	0.61	1 of 9 - Sale ²⁵
	0.097	8.64	09/25/20	7.04	...	1.60	2 of 9 - Sale ²⁵
	0.465	41.53	09/25/20	33.70	...	7.83	3 of 9 - Sale ²⁵
	2.901	259.23	09/25/20	210.52	...	48.71	4 of 9 - Sale ²⁵
	4.501	402.16	09/25/20	334.84	...	67.32	5 of 9 - Sale ²⁵
	7.000	625.45	09/25/20	504.49	...	120.96	6 of 9 - Sale ²⁵
	0.012	1.01	09/29/20	0.96	...	0.05	7 of 9 - Sale ²⁵
	0.133	11.89	09/29/20	10.93	...	0.96	8 of 9 - Sale ²⁵

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(continued)

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ENPHASE ENERGY, INC. COMMON STOCK / CUSIP: 29355A107 / Symbol: (cont'd)							
10/02/20	5.000	446.75	09/29/20	414.04	...	32.71	9 of 9 - Sale ²⁵
10/02/20	20.145	1,799.92	Various	1,519.17	...	280.75	Total of 9 transactions
	16 transactions for 10/06/20. Total proceeds and cost reported to the IRS.						
	0.010	0.93	09/29/20	0.79	...	0.14	1 of 16 - Sale ²⁵
	4.845	464.38	09/29/20	397.86	...	66.52	2 of 16 - Sale ²⁵
	0.576	55.17	09/30/20	48.30	...	6.87	3 of 16 - Sale ²⁵
	0.859	82.29	09/30/20	71.85	...	10.44	4 of 16 - Sale ²⁵
	2.999	287.45	09/30/20	251.70	...	35.75	5 of 16 - Sale ²⁵
	0.010	0.98	10/01/20	0.88	...	0.10	6 of 16 - Sale ²⁵
	0.180	17.23	10/01/20	15.23	...	2.00	7 of 16 - Sale ²⁵
	0.180	17.23	10/01/20	15.23	...	2.00	8 of 16 - Sale ²⁵
	0.303	29.09	10/01/20	26.35	...	2.74	9 of 16 - Sale ²⁵
	0.871	83.49	10/01/20	78.40	...	5.09	10 of 16 - Sale ²⁵
	0.998	95.61	10/01/20	84.77	...	10.84	11 of 16 - Sale ²⁵
	1.000	95.80	10/01/20	84.77	...	11.03	12 of 16 - Sale ²⁵
	2.000	191.68	10/01/20	172.77	...	18.91	13 of 16 - Sale ²⁵
	2.848	272.95	10/01/20	250.00	...	22.95	14 of 16 - Sale ²⁵
	0.108	10.35	10/02/20	9.77	...	0.58	15 of 16 - Sale ²⁵
	21.991	2,107.62	10/02/20	1,990.23	...	117.39	16 of 16 - Sale ²⁵
10/06/20	39.778	3,812.25	Various	3,498.90	...	313.35	Total of 16 transactions
	4 transactions for 10/06/20. Total proceeds and cost reported to the IRS.						
	0.163	15.59	10/05/20	15.75	0.16 W	0.00	1 of 4 - Sale ²⁵
	4.987	477.91	10/05/20	484.25	6.34 W	0.00	2 of 4 - Sale ²⁵
	0.083	7.92	10/05/20	8.12	0.20 W	0.00	3 of 4 - Sale ²⁵
	5.000	479.18	10/05/20	491.88	12.70 W	0.00	4 of 4 - Sale ²⁵
10/06/20	10.232	980.60	Various	1,000.00	19.40 W	0.00	Total of 4 transactions
	7 transactions for 10/08/20. Total proceeds and cost reported to the IRS.						
	0.059	6.22	10/06/20	5.78	...	0.44	1 of 7 - Sale ²⁵
	0.083	8.69	10/06/20	8.19	...	0.50	2 of 7 - Sale ²⁵
	0.104	11.05	10/06/20	10.12	...	0.93	3 of 7 - Sale ²⁵
	5.000	526.35	10/06/20	496.53	...	29.82	4 of 7 - Sale ²⁵
	4.987	524.94	10/06/20	488.88	...	36.06	5 of 7 - Sale ²⁵
	25.938	2,730.45	10/06/20	2,509.90	...	220.55	6 of 7 - Sale ²⁵

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(continued)

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ENPHASE ENERGY, INC. COMMON STOCK / CUSIP: 29355A107 / Symbol: (cont'd)							
	1.934	203.58	10/07/20	200.00	...	3.58	7 of 7 - Sale ²⁵
10/08/20	38.104	4,011.28	Various	3,719.40	...	291.88	Total of 7 transactions
	2 transactions for 10/12/20. Total proceeds and cost reported to the IRS.						
	0.067	7.00	10/08/20	6.98	...	0.02	1 of 2 - Sale ²⁵
	0.123	12.90	10/08/20	12.84	...	0.06	2 of 2 - Sale ²⁵
10/12/20	0.190	19.90	Various	19.82	...	0.08	Total of 2 transactions
10/12/20	18.933	1,978.64	10/08/20	1,980.18	0.87 W	-0.67	Sale ²⁵
	5 transactions for 10/22/20. Total proceeds and cost reported to the IRS.						
	3.985	384.97	10/12/20	425.78	...	-40.81	1 of 5 - Sale ²⁵
	1.434	138.57	10/12/20	147.17	...	-8.60	2 of 5 - Sale ²⁵
	0.580	56.06	10/12/20	61.78	...	-5.72	3 of 5 - Sale ²⁵
	0.516	49.82	10/12/20	52.91	...	-3.09	4 of 5 - Sale ²⁵
	0.001	0.07	10/12/20	0.09	...	-0.02	5 of 5 - Sale ²⁵
10/22/20	6.516	629.49	Various	687.73	...	-58.24	Total of 5 transactions
10/22/20	0.120	11.63	10/12/20	12.82	0.01 W	-1.18	Sale ²⁵
	Security total:	21,121.55		20,016.88	32.51 W	1,137.18	
FIRST SOLAR, INC. COMMON STOCK / CUSIP: 336433107 / Symbol:							
	4 transactions for 10/22/20. Total proceeds and cost reported to the IRS.						
	0.102	8.35	09/28/20	6.57	...	1.78	1 of 4 - Sale ²⁵
	4.898	399.80	09/28/20	314.64	...	85.16	2 of 4 - Sale ²⁵
	0.104	8.49	10/06/20	7.60	...	0.89	3 of 4 - Sale ²⁵
	3.998	326.37	10/06/20	292.40	...	33.97	4 of 4 - Sale ²⁵
10/22/20	9.102	743.01	Various	621.21	...	121.80	Total of 4 transactions
FUELCELL ENERGY, INC. COMMON STOCK / CUSIP: 35952H601 / Symbol:							
	3 transactions for 02/07/20. Total proceeds and cost reported to the IRS.						
	19.000	32.49	01/22/20	40.47	...	-7.98	1 of 3 - Sale ²⁵
	52.000	88.92	01/23/20	99.84	...	-10.92	2 of 3 - Sale ²⁵
	50.000	85.50	02/03/20	76.50	...	9.00	3 of 3 - Sale ²⁵
02/07/20	121.000	206.91	Various	216.81	...	-9.90	Total of 3 transactions
GLU MOBILE INC. COMMON STOCK / CUSIP: 379890106 / Symbol:							
02/07/20	15.000	109.82	01/27/20	93.90	...	15.92	Sale ²⁵

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Robinhood Securities LLC

Account 990636185

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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GUARDION HEALTH SCIENCES, INC. COMMON STOCK / CUSIP: 40145Q203 / Symbol:							
3 transactions for 02/13/20. Total proceeds and cost reported to the IRS.							
	590.000	176.93	02/06/20	190.57	...	-13.64	1 of 3 - Sale ²⁵
	328.000	99.84	02/06/20	105.94	...	-6.10	2 of 3 - Sale ²⁵
	82.000	24.59	02/06/20	26.49	...	-1.90	3 of 3 - Sale ²⁵
02/13/20	1,000.000	301.36	Various	323.00	...	-21.64	Total of 3 transactions
HTG MOLECULAR DIAGNOSTICS, INC . COMMON STOCK / CUSIP: 40434H104 / Symbol:							
02/11/20	750.000	434.91	02/05/20	450.00	...	-15.09	Sale ²⁵
HEAT BIOLOGICS, INC. COMMON ST OCK / CUSIP: 42237K300 / Symbol:							
3 transactions for 03/10/20. Total proceeds and cost reported to the IRS.							
	100.000	74.98	03/03/20	74.50	...	0.48	1 of 3 - Sale ²⁵
	200.000	149.97	03/03/20	149.00	...	0.97	2 of 3 - Sale ²⁵
	500.000	374.93	03/03/20	360.00	...	14.93	3 of 3 - Sale ²⁵
03/10/20	800.000	599.88	Various	583.50	...	16.38	Total of 3 transactions
06/04/20	100.000	93.47	03/26/20	61.99	...	31.48	Sale ²⁵
07/21/20	50.000	193.25	03/26/20	31.00	...	162.25	Sale ²⁵
	Security total:	886.60		676.49	...	210.11	
HEAT BIOLOGICS, INC. COMMON ST OCK / CUSIP: 42237K409 / Symbol:							
19 transactions for 12/15/20. Total proceeds and cost reported to the IRS.							
	0.075	0.40	03/26/20	0.33	...	0.07	1 of 19 - Sale ²⁵
	0.383	2.09	03/26/20	1.66	...	0.43	2 of 19 - Sale ²⁵
	5.926	32.25	03/26/20	25.71	...	6.54	3 of 19 - Sale ²⁵
	14.286	76.63	07/21/20	272.00	...	-195.37	4 of 19 - Sale ²⁵
	7.497	40.22	07/21/20	148.52	...	-108.30	5 of 19 - Sale ²⁵
	6.789	36.94	07/21/20	134.48	...	-97.54	6 of 19 - Sale ²⁵
	2.000	10.73	07/21/20	42.49	...	-31.76	7 of 19 - Sale ²⁵
	14.286	76.63	07/29/20	285.00	...	-208.37	8 of 19 - Sale ²⁵
	14.286	76.63	07/29/20	271.50	...	-194.87	9 of 19 - Sale ²⁵
	14.286	76.63	07/29/20	265.00	...	-188.37	10 of 19 - Sale ²⁵
	7.143	38.32	07/29/20	140.75	...	-102.43	11 of 19 - Sale ²⁵
	19.429	104.22	07/30/20	314.16	...	-209.94	12 of 19 - Sale ²⁵
	47.980	257.38	09/16/20	493.71	...	-236.33	13 of 19 - Sale ²⁵

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Account 990636185

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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HEAT BIOLOGICS, INC. COMMON STOCK / CUSIP: 42237K409 / Symbol: (cont'd)							
	0.614	3.29	09/16/20	6.29	...	-3.00	14 of 19 - Sale ²⁵
	35.714	191.59	09/28/20	325.00	...	-133.41	15 of 19 - Sale ²⁵
	2.451	13.14	11/18/20	72.66	...	-59.52	16 of 19 - Sale ²⁵
	2.857	15.33	11/18/20	59.62	...	-44.29	17 of 19 - Sale ²⁵
	0.672	3.61	11/18/20	14.03	...	-10.42	18 of 19 - Sale ²⁵
	0.042	0.22	11/18/20	0.87	...	-0.65	19 of 19 - Sale ²⁵
12/15/20	196.714	1,056.25	Various	2,873.78	...	-1,817.53	Total of 19 transactions
	5 transactions for 12/15/20. Total proceeds and cost reported to the IRS.						
	0.714	3.89	07/17/20	13.65	9.76 W	0.00	1 of 5 - Sale ²⁵
	2.857	15.55	07/17/20	54.60	39.05 W	0.00	2 of 5 - Sale ²⁵
	24.429	132.94	07/21/20	664.34	160.93 W	-370.47	3 of 5 - Sale ²⁵
	7.143	38.87	07/21/20	199.25	160.38 W	0.00	4 of 5 - Sale ²⁵
	4.143	22.54	07/21/20	112.67	90.13 W	0.00	5 of 5 - Sale ²⁵
12/15/20	39.286	213.79	Various	1,044.51	460.25 W	-370.47	Total of 5 transactions
	5 transactions for 12/22/20. Total proceeds and cost reported to the IRS.						
	7.398	43.94	12/16/20	206.50	...	-162.56	1 of 5 - Sale ²⁵
	4.295	25.51	12/16/20	122.89	...	-97.38	2 of 5 - Sale ²⁵
	4.143	24.61	12/16/20	115.65	...	-91.04	3 of 5 - Sale ²⁵
	0.233	1.39	12/16/20	6.67	...	-5.28	4 of 5 - Sale ²⁵
	0.165	0.98	12/16/20	4.71	...	-3.73	5 of 5 - Sale ²⁵
12/22/20	16.233	96.43	Various	456.42	...	-359.99	Total of 5 transactions
	Security total:	1,366.47		4,374.71	460.25 W	-2,547.99	
IBIO, INC. / CUSIP: 451033203 / Symbol:							
	2 transactions for 03/09/20. Total proceeds and cost reported to the IRS.						
	162.000	291.58	03/03/20	289.98	...	1.60	1 of 2 - Sale ²⁵
	56.000	100.79	03/03/20	98.54	...	2.25	2 of 2 - Sale ²⁵
03/09/20	218.000	392.37	Various	388.52	...	3.85	Total of 2 transactions
	19 transactions for 03/09/20. Total proceeds and cost reported to the IRS.						
	1.000	1.80	03/02/20	2.93	1.13 W	0.00	1 of 19 - Sale ²⁵
	1.000	1.80	03/02/20	2.93	1.13 W	0.00	2 of 19 - Sale ²⁵
	3.000	5.40	03/02/20	8.79	3.39 W	0.00	3 of 19 - Sale ²⁵
	40.000	72.00	03/02/20	117.20	45.20 W	0.00	4 of 19 - Sale ²⁵

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2020 1099-B* OMB No. 1545-0715

(continued)

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IBIO, INC. / CUSIP: 451033203 / Symbol: (cont'd)							
	955.000	1,718.85	03/02/20	2,798.15	1,079.30 W	0.00	5 of 19 - Sale ²⁵
	1.000	1.80	03/02/20	4.09	2.29 W	0.00	6 of 19 - Sale ²⁵
	1.000	1.80	03/02/20	4.09	2.29 W	0.00	7 of 19 - Sale ²⁵
	3.000	5.40	03/02/20	12.27	6.87 W	0.00	8 of 19 - Sale ²⁵
	40.000	71.99	03/02/20	163.60	91.61 W	0.00	9 of 19 - Sale ²⁵
	158.000	284.37	03/02/20	467.68	183.31 W	0.00	10 of 19 - Sale ²⁵
	95.000	170.98	03/02/20	281.20	110.22 W	0.00	11 of 19 - Sale ²⁵
	98.000	176.38	03/02/20	292.04	115.66 W	0.00	12 of 19 - Sale ²⁵
	250.000	449.96	03/02/20	727.38	277.42 W	0.00	13 of 19 - Sale ²⁵
	200.000	359.97	03/03/20	407.00	47.03 W	0.00	14 of 19 - Sale ²⁵
	74.000	133.19	03/03/20	140.59	7.40 W	0.00	15 of 19 - Sale ²⁵
	300.000	539.95	03/03/20	587.70	47.75 W	0.00	16 of 19 - Sale ²⁵
	125.000	224.98	03/03/20	236.25	11.27 W	0.00	17 of 19 - Sale ²⁵
	103.000	185.38	03/05/20	241.02	55.64 W	0.00	18 of 19 - Sale ²⁵
	34.000	61.20	03/05/20	86.70	25.50 W	0.00	19 of 19 - Sale ²⁵
03/09/20	2,482.000	4,467.20	Various	6,581.61	2,114.41 W	0.00	Total of 19 transactions
	40 transactions for 03/11/20. Total proceeds and cost reported to the IRS.						
	14.000	20.86	03/05/20	51.52	30.66 W	0.00	1 of 40 - Sale ²⁵
	55.000	81.94	03/05/20	195.25	113.31 W	0.00	2 of 40 - Sale ²⁵
	2.000	2.98	03/05/20	6.94	3.96 W	0.00	3 of 40 - Sale ²⁵
	1.000	1.49	03/11/20	3.86	2.37 W	0.00	4 of 40 - Sale ²⁵
	1.000	1.49	03/11/20	3.86	2.37 W	0.00	5 of 40 - Sale ²⁵
	3.000	4.47	03/11/20	11.58	7.11 W	0.00	6 of 40 - Sale ²⁵
	40.000	59.59	03/11/20	154.41	94.82 W	0.00	7 of 40 - Sale ²⁵
	735.000	1,095.04	03/11/20	1,984.62	889.58 W	0.00	8 of 40 - Sale ²⁵
	1.000	1.49	03/11/20	2.70	1.21 W	0.00	9 of 40 - Sale ²⁵
	95.000	141.53	03/11/20	259.37	117.84 W	0.00	10 of 40 - Sale ²⁵
	98.000	146.01	03/11/20	269.52	123.51 W	0.00	11 of 40 - Sale ²⁵
	158.000	235.39	03/11/20	431.37	195.98 W	0.00	12 of 40 - Sale ²⁵
	250.000	372.46	03/11/20	669.92	297.46 W	0.00	13 of 40 - Sale ²⁵
	148.000	220.50	03/11/20	399.62	179.12 W	0.00	14 of 40 - Sale ²⁵
	51.000	75.98	03/11/20	85.17	9.19 W	0.00	15 of 40 - Sale ²⁵
	200.000	297.97	03/11/20	361.03	63.06 W	0.00	16 of 40 - Sale ²⁵
	23.000	34.27	03/11/20	38.41	4.14 W	0.00	17 of 40 - Sale ²⁵

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(continued)

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IBIO, INC. / CUSIP: 451033203 / Symbol: (cont'd)							
	77.000	114.72	03/11/20	133.15	18.43 W	0.00	18 of 40 - Sale ²⁵
	4.000	5.96	03/11/20	6.92	0.96 W	0.00	19 of 40 - Sale ²⁵
	115.000	171.33	03/11/20	198.85	27.52 W	0.00	20 of 40 - Sale ²⁵
	1.000	1.49	03/11/20	3.96	2.47 W	0.00	21 of 40 - Sale ²⁵
	1.000	1.49	03/11/20	3.96	2.47 W	0.00	22 of 40 - Sale ²⁵
	3.000	4.47	03/11/20	11.88	7.41 W	0.00	23 of 40 - Sale ²⁵
	40.000	59.60	03/11/20	158.41	98.81 W	0.00	24 of 40 - Sale ²⁵
	2.000	2.98	03/11/20	7.14	4.16 W	0.00	25 of 40 - Sale ²⁵
	14.000	20.86	03/11/20	52.92	32.06 W	0.00	26 of 40 - Sale ²⁵
	55.000	81.94	03/11/20	200.75	118.81 W	0.00	27 of 40 - Sale ²⁵
	69.000	102.80	03/11/20	193.21	90.41 W	0.00	28 of 40 - Sale ²⁵
	20.000	29.80	03/11/20	56.00	26.20 W	0.00	29 of 40 - Sale ²⁵
	100.000	148.99	03/11/20	280.01	131.02 W	0.00	30 of 40 - Sale ²⁵
	49.000	73.01	03/11/20	137.21	64.20 W	0.00	31 of 40 - Sale ²⁵
	20.000	29.80	03/11/20	56.00	26.20 W	0.00	32 of 40 - Sale ²⁵
	1.000	1.49	03/11/20	2.80	1.31 W	0.00	33 of 40 - Sale ²⁵
	34.000	50.65	03/11/20	96.22	45.57 W	0.00	34 of 40 - Sale ²⁵
	148.000	220.50	03/11/20	414.41	193.91 W	0.00	35 of 40 - Sale ²⁵
	477.000	710.66	03/11/20	1,335.66	625.00 W	0.00	36 of 40 - Sale ²⁵
	104.000	154.94	03/11/20	181.89	26.95 W	0.00	37 of 40 - Sale ²⁵
	125.000	186.23	03/11/20	209.99	23.76 W	0.00	38 of 40 - Sale ²⁵
	34.000	50.66	03/11/20	79.55	28.89 W	0.00	39 of 40 - Sale ²⁵
	103.000	153.45	03/11/20	219.39	65.94 W	0.00	40 of 40 - Sale ²⁵
03/11/20	3,471.000	5,171.28	Various	8,969.43	3,798.15 W	0.00	Total of 40 transactions
44 transactions for 03/18/20. Total proceeds and cost reported to the IRS.							
	257.000	398.31	03/18/20	816.04	...	-417.73	1 of 44 - Sale ²⁵
	167.000	258.82	03/18/20	493.07	...	-234.25	2 of 44 - Sale ²⁵
	100.000	154.99	03/18/20	320.56	...	-165.57	3 of 44 - Sale ²⁵
	100.000	154.98	03/18/20	317.52	...	-162.54	4 of 44 - Sale ²⁵
	100.000	154.98	03/18/20	317.52	...	-162.54	5 of 44 - Sale ²⁵
	100.000	154.98	03/18/20	317.28	...	-162.30	6 of 44 - Sale ²⁵
	88.000	136.39	03/18/20	279.42	...	-143.03	7 of 44 - Sale ²⁵
	81.000	125.54	03/18/20	245.06	...	-119.52	8 of 44 - Sale ²⁵
	83.000	128.64	03/18/20	245.26	...	-116.62	9 of 44 - Sale ²⁵

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IBIO, INC. / CUSIP: 451033203 / Symbol: (cont'd)							
	76.000	117.79	03/18/20	228.43	...	-110.64	10 of 44 - Sale ²⁵
	40.000	61.99	03/18/20	169.42	...	-107.43	11 of 44 - Sale ²⁵
	100.000	154.98	03/18/20	250.27	...	-95.29	12 of 44 - Sale ²⁵
	49.000	75.94	03/18/20	155.59	...	-79.65	13 of 44 - Sale ²⁵
	125.000	193.73	03/18/20	256.57	...	-62.84	14 of 44 - Sale ²⁵
	37.000	57.34	03/18/20	117.49	...	-60.15	15 of 44 - Sale ²⁵
	34.000	52.69	03/18/20	108.98	...	-56.29	16 of 44 - Sale ²⁵
	100.000	154.98	03/18/20	208.04	...	-53.06	17 of 44 - Sale ²⁵
	32.000	49.59	03/18/20	101.61	...	-52.02	18 of 44 - Sale ²⁵
	75.000	116.24	03/18/20	159.13	...	-42.89	19 of 44 - Sale ²⁵
	34.000	52.69	03/18/20	92.30	...	-39.61	20 of 44 - Sale ²⁵
	67.000	103.84	03/18/20	139.40	...	-35.56	21 of 44 - Sale ²⁵
	14.000	21.70	03/18/20	56.77	...	-35.07	22 of 44 - Sale ²⁵
	24.000	37.20	03/18/20	72.13	...	-34.93	23 of 44 - Sale ²⁵
	20.000	31.00	03/18/20	63.50	...	-32.50	24 of 44 - Sale ²⁵
	20.000	31.00	03/18/20	63.50	...	-32.50	25 of 44 - Sale ²⁵
	63.000	97.63	03/18/20	126.28	...	-28.65	26 of 44 - Sale ²⁵
	19.000	29.45	03/18/20	57.11	...	-27.66	27 of 44 - Sale ²⁵
	59.000	91.44	03/18/20	118.26	...	-26.82	28 of 44 - Sale ²⁵
	17.000	26.35	03/18/20	51.44	...	-25.09	29 of 44 - Sale ²⁵
	11.000	17.05	03/18/20	34.93	...	-17.88	30 of 44 - Sale ²⁵
	33.000	51.14	03/18/20	68.57	...	-17.43	31 of 44 - Sale ²⁵
	29.000	44.95	03/18/20	61.59	...	-16.64	32 of 44 - Sale ²⁵
	33.000	51.15	03/18/20	64.19	...	-13.04	33 of 44 - Sale ²⁵
	4.000	6.20	03/18/20	15.70	...	-9.50	34 of 44 - Sale ²⁵
	23.000	35.65	03/18/20	44.74	...	-9.09	35 of 44 - Sale ²⁵
	18.000	27.90	03/18/20	36.08	...	-8.18	36 of 44 - Sale ²⁵
	3.000	4.65	03/18/20	12.70	...	-8.05	37 of 44 - Sale ²⁵
	18.000	27.90	03/18/20	35.02	...	-7.12	38 of 44 - Sale ²⁵
	15.000	23.25	03/18/20	30.07	...	-6.82	39 of 44 - Sale ²⁵
	3.000	4.65	03/18/20	7.52	...	-2.87	40 of 44 - Sale ²⁵
	1.000	1.55	03/18/20	4.24	...	-2.69	41 of 44 - Sale ²⁵
	1.000	1.55	03/18/20	4.23	...	-2.68	42 of 44 - Sale ²⁵
	4.000	6.20	03/18/20	8.02	...	-1.82	43 of 44 - Sale ²⁵

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Robinhood Securities LLC

Account 990636185

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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IBIO, INC. / CUSIP: 451033203 / Symbol: (cont'd)							
03/18/20	1.000	1.55	03/18/20	3.17	...	-1.62	44 of 44 - Sale ²⁵
	2,278.000	3,530.54	Various	6,378.72	...	-2,848.18	Total of 44 transactions
	21 transactions for 03/18/20. Total proceeds and cost reported to the IRS.						
	100.000	154.98	03/12/20	289.04	134.06 W	0.00	1 of 21 - Sale ²⁵
	1.000	1.55	03/16/20	3.92	2.37 W	0.00	2 of 21 - Sale ²⁵
	1.000	1.55	03/16/20	3.92	2.37 W	0.00	3 of 21 - Sale ²⁵
	3.000	4.65	03/16/20	11.76	7.11 W	0.00	4 of 21 - Sale ²⁵
	40.000	61.99	03/16/20	156.81	94.82 W	0.00	5 of 21 - Sale ²⁵
	4.000	6.20	03/16/20	14.44	8.24 W	0.00	6 of 21 - Sale ²⁵
	14.000	21.70	03/16/20	52.36	30.66 W	0.00	7 of 21 - Sale ²⁵
	24.000	37.20	03/16/20	64.57	27.37 W	0.00	8 of 21 - Sale ²⁵
	95.000	147.23	03/16/20	255.59	108.36 W	0.00	9 of 21 - Sale ²⁵
	98.000	151.88	03/16/20	265.61	113.73 W	0.00	10 of 21 - Sale ²⁵
	250.000	387.46	03/16/20	659.96	272.50 W	0.00	11 of 21 - Sale ²⁵
	4.000	6.20	03/16/20	6.76	0.56 W	0.00	12 of 21 - Sale ²⁵
	23.000	35.65	03/16/20	37.49	1.84 W	0.00	13 of 21 - Sale ²⁵
	51.000	79.04	03/16/20	83.14	4.10 W	0.00	14 of 21 - Sale ²⁵
	77.000	119.34	03/16/20	130.08	10.74 W	0.00	15 of 21 - Sale ²⁵
	15.000	23.25	03/16/20	25.34	2.09 W	0.00	16 of 21 - Sale ²⁵
	200.000	309.97	03/16/20	353.06	43.09 W	0.00	17 of 21 - Sale ²⁵
	100.000	154.98	03/16/20	168.93	13.95 W	0.00	18 of 21 - Sale ²⁵
	69.000	106.94	03/18/20	219.09	16.25 W	-95.90	19 of 21 - Sale ²⁵
	2.000	3.10	03/18/20	7.89	4.79 W	0.00	20 of 21 - Sale ²⁵
	51.000	79.04	03/18/20	205.29	126.25 W	0.00	21 of 21 - Sale ²⁵
03/18/20	1,222.000	1,893.90	Various	3,015.05	1,025.25 W	-95.90	Total of 21 transactions
	5 transactions for 05/18/20. Total proceeds and cost reported to the IRS.						
	48.000	74.88	03/18/20	208.34	...	-133.46	1 of 5 - Sale ²⁵
	10.000	15.60	03/18/20	34.90	...	-19.30	2 of 5 - Sale ²⁵
	37.000	57.71	03/18/20	74.17	...	-16.46	3 of 5 - Sale ²⁵
	3.000	4.68	03/18/20	13.02	...	-8.34	4 of 5 - Sale ²⁵
	2.000	3.12	03/18/20	8.52	...	-5.40	5 of 5 - Sale ²⁵
05/18/20	100.000	155.99	Various	338.95	...	-182.96	Total of 5 transactions
	Security total:	15,611.28		25,672.28	6,937.81 W	-3,123.19	

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Account 990636185

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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INOVIO PHARMACEUTICALS, INC. C OMMON STOCK / CUSIP: 45773H201 / Symbol:							
03/25/20	80.000	554.37	03/24/20	605.60	...	-51.23	Sale ²⁵
03/31/20	20.000	148.60	03/24/20	151.40	...	-2.80	Sale ²⁵
	Security total:	702.97		757.00	...	-54.03	
ISHARES GLOBAL CLEAN ENERGY ET F / CUSIP: 464288224 / Symbol:							
4 transactions for 10/06/20. Total proceeds and cost reported to the IRS.							
	0.121	2.40	10/01/20	2.28	...	0.12	1 of 4 - Sale ²⁵
	0.378	7.50	10/01/20	7.12	...	0.38	2 of 4 - Sale ²⁵
	79.035	1,569.59	10/01/20	1,490.60	...	78.99	3 of 4 - Sale ²⁵
	0.014	0.29	10/06/20	0.29	...	0.00	4 of 4 - Sale ²⁵
10/06/20	79.548	1,579.78	Various	1,500.29	...	79.49	Total of 4 transactions
10/06/20	14.573	289.41	10/06/20	292.56	3.15 W	0.00	Sale ²⁵
	Security total:	1,869.19		1,792.85	3.15 W	79.49	
JINKOSOLAR HOLDINGS CO / CUSIP: 47759T100 / Symbol:							
2 transactions for 10/15/20. Total proceeds and cost reported to the IRS.							
	0.631	41.41	10/08/20	34.04	...	7.37	1 of 2 - Sale ²⁵
	4.000	262.48	10/08/20	215.96	...	46.52	2 of 2 - Sale ²⁵
10/15/20	4.631	303.89	Various	250.00	...	53.89	Total of 2 transactions
10/21/20	7.473	591.07	10/15/20	500.00	...	91.07	Sale ²⁵
6 transactions for 11/12/20. Total proceeds and cost reported to the IRS.							
	6.906	435.51	10/23/20	443.86	...	-8.35	1 of 6 - Sale ²⁵
	0.683	43.10	10/23/20	43.94	...	-0.84	2 of 6 - Sale ²⁵
	0.094	5.91	10/23/20	6.14	...	-0.23	3 of 6 - Sale ²⁵
	0.002	0.14	10/23/20	0.14	...	0.00	4 of 6 - Sale ²⁵
	0.101	6.40	11/03/20	6.12	...	0.28	5 of 6 - Sale ²⁵
	6.213	391.79	11/03/20	374.76	...	17.03	6 of 6 - Sale ²⁵
11/12/20	14.000	882.85	Various	874.96	...	7.89	Total of 6 transactions
11/12/20	0.094	5.92	10/23/20	6.03	0.11 W	0.00	Sale ²⁵
	Security total:	1,783.73		1,630.99	0.11 W	152.85	

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Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

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JUST ENERGY GROUP INC. / CUSIP: 48213W101 / Symbol:							
9 transactions for 09/24/20. Total proceeds and cost reported to the IRS.							
	122.000	67.08	09/24/20	84.66	...	-17.58	1 of 9 - Sale ²⁵
	68.000	37.39	09/24/20	44.79	...	-7.40	2 of 9 - Sale ²⁵
	477.000	262.29	09/24/20	260.68	...	1.61	3 of 9 - Sale ²⁵
	200.000	109.97	09/24/20	107.40	...	2.57	4 of 9 - Sale ²⁵
	334.000	183.66	09/24/20	179.36	...	4.30	5 of 9 - Sale ²⁵
	100.000	54.99	09/24/20	43.07	...	11.92	6 of 9 - Sale ²⁵
	200.000	109.97	09/24/20	93.78	...	16.19	7 of 9 - Sale ²⁵
	389.000	213.90	09/24/20	194.31	...	19.59	8 of 9 - Sale ²⁵
	219.000	120.42	09/24/20	94.17	...	26.25	9 of 9 - Sale ²⁵
09/24/20	2,109.000	1,159.67	Various	1,102.22	...	57.45	Total of 9 transactions
3 transactions for 09/24/20. Total proceeds and cost reported to the IRS.							
	1,542.000	847.89	09/24/20	914.79	30.51 W	-36.39	1 of 3 - Sale ²⁵
	511.000	280.98	09/24/20	286.16	5.18 W	0.00	2 of 3 - Sale ²⁵
	838.000	460.79	09/24/20	478.50	17.71 W	0.00	3 of 3 - Sale ²⁵
09/24/20	2,891.000	1,589.66	Various	1,679.45	53.40 W	-36.39	Total of 3 transactions
6 transactions for 09/25/20. Total proceeds and cost reported to the IRS.							
	407.000	217.85	09/24/20	286.54	...	-68.69	1 of 6 - Sale ²⁵
	662.000	354.35	09/24/20	419.53	...	-65.18	2 of 6 - Sale ²⁵
	176.000	94.21	09/24/20	120.87	...	-26.66	3 of 6 - Sale ²⁵
	104.000	55.67	09/24/20	70.27	...	-14.60	4 of 6 - Sale ²⁵
	106.000	56.73	09/24/20	69.54	...	-12.81	5 of 6 - Sale ²⁵
	45.000	24.09	09/24/20	26.47	...	-2.38	6 of 6 - Sale ²⁵
09/25/20	1,500.000	802.90	Various	993.22	...	-190.32	Total of 6 transactions
	Security total:	3,552.23		3,774.89	53.40 W	-169.26	
JUST ENERGY GROUP INC / CUSIP: 48213W408 / Symbol:							
3 transactions for 10/01/20. Total proceeds and cost reported to the IRS.							
	6.788	33.26	09/24/20	130.57	...	-97.31	1 of 3 - Sale ²⁵
	3.152	15.44	09/24/20	61.19	...	-45.75	2 of 3 - Sale ²⁵
	6.061	29.70	09/25/20	95.60	...	-65.90	3 of 3 - Sale ²⁵
10/01/20	16.000	78.40	Various	287.36	...	-208.96	Total of 3 transactions

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2020 1099-B* OMB No. 1545-0715

(continued)

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KEMPHARM, INC. COMMON STOCK / CUSIP: 488445107 / Symbol:							
07/29/20	125.000	39.43	03/03/20	58.75	...	-19.32	Sale ²⁵
	2 transactions for 09/09/20. Total proceeds and cost reported to the IRS.						
	25.000	17.97	03/03/20	11.75	...	6.22	1 of 2 - Sale ²⁵
	25.000	17.98	03/03/20	11.75	...	6.23	2 of 2 - Sale ²⁵
09/09/20	50.000	35.95	Various	23.50	...	12.45	Total of 2 transactions
09/22/20	75.000	53.24	03/03/20	35.25	...	17.99	Sale ²⁵
	Security total:	128.62		117.50	...	11.12	
LIGHTPATH TECHNOLOGIES, INC. C LASS A COMMON STOCK / CUSIP: 532257805 / Symbol:							
02/10/20	270.000	313.17	02/07/20	367.17	...	-54.00	Sale ²⁵
MICROSOFT CORPORATION COMMON S TOCK / CUSIP: 594918104 / Symbol:							
01/23/20	2.000	331.40	01/16/20	328.76	...	2.64	Sale ²⁵
02/07/20	5.000	925.49	02/05/20	902.49	...	23.00	Sale ²⁵
03/02/20	4.000	655.98	02/24/20	694.68	...	-38.70	Sale ²⁵
09/30/20	3.000	627.17	09/29/20	624.23	...	2.94	Sale ²⁵
	Security total:	2,540.04		2,550.16	...	-10.12	
MOLECULIN BIOTECH, INC. COMMON STOCK / CUSIP: 60855D101 / Symbol:							
	2 transactions for 02/05/20. Total proceeds and cost reported to the IRS.						
	50.000	56.24	02/03/20	48.50	...	7.74	1 of 2 - Sale ²⁵
	150.000	168.74	02/03/20	147.00	...	21.74	2 of 2 - Sale ²⁵
02/05/20	200.000	224.98	Various	195.50	...	29.48	Total of 2 transactions
	3 transactions for 02/10/20. Total proceeds and cost reported to the IRS.						
	150.000	120.73	02/03/20	145.50	...	-24.77	1 of 3 - Sale ²⁵
	150.000	120.73	02/05/20	152.99	...	-32.26	2 of 3 - Sale ²⁵
	300.000	241.47	02/07/20	246.00	...	-4.53	3 of 3 - Sale ²⁵
02/10/20	600.000	482.93	Various	544.49	...	-61.56	Total of 3 transactions
	Security total:	707.91		739.99	...	-32.08	
NIO INC. AMERICAN DEPOSITARY S HARES, EACH REPRESENTING ONE C LASS A ORDINARY SHARE / CUSIP: 62914V106 / Symbol:							
	10 transactions for 11/13/20. Total proceeds and cost reported to the IRS.						
	0.047	2.39	11/03/20	1.56	...	0.83	1 of 10 - Sale ²⁵
	0.239	12.15	11/03/20	7.95	...	4.20	2 of 10 - Sale ²⁵

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Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

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NIO INC. AMERICAN DEPOSITARY SHARES, EACH REPRESENTING ONE CLASS A ORDINARY SHARE / CUSIP: 62914V106 / Symbol: (cont'd)							
	0.654	33.20	11/03/20	21.70	...	11.50	3 of 10 - Sale ²⁵
	2.072	105.37	11/03/20	68.79	...	36.58	4 of 10 - Sale ²⁵
	11.709	595.39	11/06/20	500.00	...	95.39	5 of 10 - Sale ²⁵
	0.020	1.02	11/11/20	0.82	...	0.20	6 of 10 - Sale ²⁵
	12.268	623.87	11/11/20	499.18	...	124.69	7 of 10 - Sale ²⁵
	0.006	0.30	11/12/20	0.29	...	0.01	8 of 10 - Sale ²⁵
	0.131	6.65	11/12/20	6.37	...	0.28	9 of 10 - Sale ²⁵
	5.000	254.26	11/12/20	243.34	...	10.92	10 of 10 - Sale ²⁵
11/13/20	32.146	1,634.60	Various	1,350.00	...	284.60	Total of 10 transactions
11/13/20	3.747	190.55	11/13/20	200.00	9.45 W	0.00	Sale ²⁵
	2 transactions for 11/18/20. Total proceeds and cost reported to the IRS.						
	18.136	811.72	11/16/20	828.77	1.88 W	-15.17	1 of 2 - Sale ²⁵
	3.747	167.71	11/16/20	180.68	12.97 W	0.00	2 of 2 - Sale ²⁵
11/18/20	21.883	979.43	Various	1,009.45	14.85 W	-15.17	Total of 2 transactions
	2 transactions for 12/22/20. Total proceeds and cost reported to the IRS.						
	2.003	97.22	11/30/20	106.38	9.16 W	0.00	1 of 2 - Sale ²⁵
	3.747	181.90	11/30/20	208.47	26.57 W	0.00	2 of 2 - Sale ²⁵
12/22/20	5.750	279.12	Various	314.85	35.73 W	0.00	Total of 2 transactions
	Security total:	3,083.70		2,874.30	60.03 W	269.43	
ONCONOVA THERAPEUTICS, INC. COMMON STOCK / CUSIP: 68232V405 / Symbol:							
	28 transactions for 02/19/20. Total proceeds and cost reported to the IRS.						
	4.000	1.89	01/22/20	1.54	...	0.35	1 of 28 - Sale ²⁵
	19.000	9.00	01/23/20	7.97	...	1.03	2 of 28 - Sale ²⁵
	50.000	23.69	01/23/20	20.50	...	3.19	3 of 28 - Sale ²⁵
	66.000	31.26	01/23/20	27.06	...	4.20	4 of 28 - Sale ²⁵
	100.000	47.36	01/23/20	41.00	...	6.36	5 of 28 - Sale ²⁵
	100.000	47.36	01/23/20	41.00	...	6.36	6 of 28 - Sale ²⁵
	100.000	47.36	01/23/20	41.00	...	6.36	7 of 28 - Sale ²⁵
	100.000	47.36	01/23/20	41.00	...	6.36	8 of 28 - Sale ²⁵
	100.000	47.37	01/23/20	41.00	...	6.37	9 of 28 - Sale ²⁵
	127.000	60.16	01/23/20	52.07	...	8.09	10 of 28 - Sale ²⁵
	16.000	7.58	02/07/20	7.52	...	0.06	11 of 28 - Sale ²⁵
	84.000	39.78	02/07/20	39.48	...	0.30	12 of 28 - Sale ²⁵

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ONCONOVA THERAPEUTICS, INC. CO MMON STOCK / CUSIP: 68232V405 / Symbol: (cont'd)							
	16.000	7.58	02/07/20	7.24	...	0.34	13 of 28 - Sale ²⁵
	100.000	47.36	02/07/20	47.00	...	0.36	14 of 28 - Sale ²⁵
	100.000	47.36	02/07/20	47.00	...	0.36	15 of 28 - Sale ²⁵
	100.000	47.36	02/07/20	47.00	...	0.36	16 of 28 - Sale ²⁵
	100.000	47.36	02/07/20	47.00	...	0.36	17 of 28 - Sale ²⁵
	34.000	16.10	02/07/20	15.37	...	0.73	18 of 28 - Sale ²⁵
	100.000	47.36	02/07/20	45.22	...	2.14	19 of 28 - Sale ²⁵
	100.000	47.36	02/07/20	45.22	...	2.14	20 of 28 - Sale ²⁵
	100.000	47.36	02/07/20	45.22	...	2.14	21 of 28 - Sale ²⁵
	100.000	47.36	02/07/20	45.22	...	2.14	22 of 28 - Sale ²⁵
	100.000	47.36	02/07/20	45.22	...	2.14	23 of 28 - Sale ²⁵
	100.000	47.36	02/07/20	45.22	...	2.14	24 of 28 - Sale ²⁵
	100.000	47.36	02/07/20	45.22	...	2.14	25 of 28 - Sale ²⁵
	1,000.000	471.97	02/11/20	608.80	...	-136.83	26 of 28 - Sale ²⁵
	525.000	247.79	02/11/20	373.28	...	-125.49	27 of 28 - Sale ²⁵
	13.000	6.14	02/11/20	7.47	...	-1.33	28 of 28 - Sale ²⁵
02/19/20	3,554.000	1,680.71	Various	1,877.84	...	-197.13	Total of 28 transactions
	270 transactions for 02/19/20. Total proceeds and cost reported to the IRS.						
	100.000	47.36	02/07/20	49.24	1.88 W	0.00	1 of 270 - Sale ²⁵
	100.000	47.36	02/07/20	49.24	1.88 W	0.00	2 of 270 - Sale ²⁵
	66.000	31.26	02/07/20	32.50	1.24 W	0.00	3 of 270 - Sale ²⁵
	34.000	16.10	02/07/20	16.42	0.32 W	0.00	4 of 270 - Sale ²⁵
	100.000	47.36	02/07/20	48.30	0.94 W	0.00	5 of 270 - Sale ²⁵
	100.000	47.36	02/07/20	48.30	0.94 W	0.00	6 of 270 - Sale ²⁵
	100.000	47.36	02/07/20	48.30	0.94 W	0.00	7 of 270 - Sale ²⁵
	66.000	31.26	02/07/20	31.88	0.62 W	0.00	8 of 270 - Sale ²⁵
	34.000	16.10	02/07/20	18.25	2.15 W	0.00	9 of 270 - Sale ²⁵
	16.000	7.58	02/07/20	8.58	1.00 W	0.00	10 of 270 - Sale ²⁵
	16.000	7.58	02/07/20	8.43	0.85 W	0.00	11 of 270 - Sale ²⁵
	34.000	16.10	02/07/20	17.93	1.83 W	0.00	12 of 270 - Sale ²⁵
	34.000	16.10	02/07/20	17.64	1.54 W	0.00	13 of 270 - Sale ²⁵
	100.000	47.36	02/07/20	51.88	4.52 W	0.00	14 of 270 - Sale ²⁵
	100.000	47.36	02/07/20	51.88	4.52 W	0.00	15 of 270 - Sale ²⁵
	34.000	16.10	02/07/20	17.97	1.87 W	0.00	16 of 270 - Sale ²⁵

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Robinhood Securities LLC

Account 990636185

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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ONCONOVA THERAPEUTICS, INC. CO MMON STOCK / CUSIP: 68232V405 / Symbol: (cont'd)							
	66.000	31.26	02/07/20	34.24	2.98 W	0.00	17 of 270 - Sale ²⁵
	100.000	47.36	02/07/20	52.85	5.49 W	0.00	18 of 270 - Sale ²⁵
	66.000	31.26	02/07/20	34.88	3.62 W	0.00	19 of 270 - Sale ²⁵
	34.000	16.10	02/07/20	17.65	1.55 W	0.00	20 of 270 - Sale ²⁵
	100.000	47.36	02/07/20	51.91	4.55 W	0.00	21 of 270 - Sale ²⁵
	100.000	47.36	02/07/20	51.91	4.55 W	0.00	22 of 270 - Sale ²⁵
	20.000	9.47	02/07/20	10.38	0.91 W	0.00	23 of 270 - Sale ²⁵
	16.000	7.58	02/07/20	9.19	1.61 W	0.00	24 of 270 - Sale ²⁵
	34.000	16.10	02/07/20	19.55	3.45 W	0.00	25 of 270 - Sale ²⁵
	30.000	14.21	02/07/20	16.97	2.76 W	0.00	26 of 270 - Sale ²⁵
	16.000	7.58	02/07/20	9.04	1.46 W	0.00	27 of 270 - Sale ²⁵
	4.000	1.89	02/07/20	2.26	0.37 W	0.00	28 of 270 - Sale ²⁵
	34.000	16.10	02/07/20	18.94	2.84 W	0.00	29 of 270 - Sale ²⁵
	46.000	21.79	02/07/20	25.62	3.83 W	0.00	30 of 270 - Sale ²⁵
	54.000	25.57	02/07/20	30.07	4.50 W	0.00	31 of 270 - Sale ²⁵
	46.000	21.79	02/07/20	25.61	3.82 W	0.00	32 of 270 - Sale ²⁵
	46.000	21.79	02/07/20	25.61	3.82 W	0.00	33 of 270 - Sale ²⁵
	54.000	25.57	02/07/20	30.07	4.50 W	0.00	34 of 270 - Sale ²⁵
	14.000	6.63	02/07/20	7.93	1.30 W	0.00	35 of 270 - Sale ²⁵
	34.000	16.10	02/07/20	19.27	3.17 W	0.00	36 of 270 - Sale ²⁵
	20.000	9.47	02/07/20	11.14	1.67 W	0.00	37 of 270 - Sale ²⁵
	32.000	15.16	02/07/20	16.68	1.52 W	0.00	38 of 270 - Sale ²⁵
	52.000	24.63	02/07/20	27.10	2.47 W	0.00	39 of 270 - Sale ²⁵
	48.000	22.73	02/07/20	25.01	2.28 W	0.00	40 of 270 - Sale ²⁵
	14.000	6.63	02/07/20	7.29	0.66 W	0.00	41 of 270 - Sale ²⁵
	84.000	39.78	02/07/20	40.49	0.71 W	0.00	42 of 270 - Sale ²⁵
	16.000	7.58	02/07/20	7.71	0.13 W	0.00	43 of 270 - Sale ²⁵
	50.000	23.68	02/07/20	24.57	0.89 W	0.00	44 of 270 - Sale ²⁵
	34.000	16.10	02/07/20	16.71	0.61 W	0.00	45 of 270 - Sale ²⁵
	50.000	23.68	02/07/20	25.04	1.36 W	0.00	46 of 270 - Sale ²⁵
	16.000	7.58	02/07/20	7.86	0.28 W	0.00	47 of 270 - Sale ²⁵
	34.000	16.10	02/07/20	16.42	0.32 W	0.00	48 of 270 - Sale ²⁵
	100.000	47.36	02/07/20	48.30	0.94 W	0.00	49 of 270 - Sale ²⁵
	100.000	47.36	02/07/20	48.30	0.94 W	0.00	50 of 270 - Sale ²⁵

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Robinhood Securities LLC

Account 990636185

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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ONCONOVA THERAPEUTICS, INC. CO MMON STOCK / CUSIP: 68232V405 / Symbol: (cont'd)							
	100.000	47.36	02/07/20	48.30	0.94 W	0.00	51 of 270 - Sale ²⁵
	100.000	47.36	02/07/20	48.30	0.94 W	0.00	52 of 270 - Sale ²⁵
	66.000	31.26	02/07/20	31.88	0.62 W	0.00	53 of 270 - Sale ²⁵
	34.000	16.10	02/07/20	17.35	1.25 W	0.00	54 of 270 - Sale ²⁵
	16.000	7.58	02/07/20	8.16	0.58 W	0.00	55 of 270 - Sale ²⁵
	16.000	7.58	02/07/20	8.01	0.43 W	0.00	56 of 270 - Sale ²⁵
	34.000	16.10	02/07/20	17.03	0.93 W	0.00	57 of 270 - Sale ²⁵
	34.000	16.10	02/07/20	16.74	0.64 W	0.00	58 of 270 - Sale ²⁵
	100.000	47.36	02/07/20	49.24	1.88 W	0.00	59 of 270 - Sale ²⁵
	100.000	47.36	02/07/20	49.24	1.88 W	0.00	60 of 270 - Sale ²⁵
	16.000	7.58	02/10/20	10.41	2.83 W	0.00	61 of 270 - Sale ²⁵
	34.000	16.10	02/10/20	22.15	6.05 W	0.00	62 of 270 - Sale ²⁵
	4.000	1.89	02/10/20	2.57	0.68 W	0.00	63 of 270 - Sale ²⁵
	2.000	0.95	02/10/20	1.28	0.33 W	0.00	64 of 270 - Sale ²⁵
	30.000	14.21	02/10/20	19.26	5.05 W	0.00	65 of 270 - Sale ²⁵
	8.000	3.79	02/10/20	5.13	1.34 W	0.00	66 of 270 - Sale ²⁵
	6.000	2.84	02/10/20	3.63	0.79 W	0.00	67 of 270 - Sale ²⁵
	86.000	40.73	02/10/20	52.02	11.29 W	0.00	68 of 270 - Sale ²⁵
	60.000	28.42	02/10/20	36.29	7.87 W	0.00	69 of 270 - Sale ²⁵
	34.000	16.10	02/10/20	20.25	4.15 W	0.00	70 of 270 - Sale ²⁵
	6.000	2.84	02/10/20	3.57	0.73 W	0.00	71 of 270 - Sale ²⁵
	94.000	44.52	02/10/20	55.98	11.46 W	0.00	72 of 270 - Sale ²⁵
	6.000	2.84	02/10/20	3.57	0.73 W	0.00	73 of 270 - Sale ²⁵
	6.000	2.84	02/10/20	3.57	0.73 W	0.00	74 of 270 - Sale ²⁵
	94.000	44.52	02/10/20	55.98	11.46 W	0.00	75 of 270 - Sale ²⁵
	14.000	6.63	02/10/20	8.34	1.71 W	0.00	76 of 270 - Sale ²⁵
	6.000	2.84	02/10/20	3.95	1.11 W	0.00	77 of 270 - Sale ²⁵
	34.000	16.10	02/10/20	22.13	6.03 W	0.00	78 of 270 - Sale ²⁵
	46.000	21.79	02/10/20	29.93	8.14 W	0.00	79 of 270 - Sale ²⁵
	46.000	21.79	02/10/20	29.92	8.13 W	0.00	80 of 270 - Sale ²⁵
	54.000	25.57	02/10/20	35.13	9.56 W	0.00	81 of 270 - Sale ²⁵
	46.000	21.79	02/10/20	29.92	8.13 W	0.00	82 of 270 - Sale ²⁵
	54.000	25.57	02/10/20	35.13	9.56 W	0.00	83 of 270 - Sale ²⁵
	14.000	6.63	02/10/20	9.24	2.61 W	0.00	84 of 270 - Sale ²⁵

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Robinhood Securities LLC

Account 990636185

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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ONCONOVA THERAPEUTICS, INC. CO MMON STOCK / CUSIP: 68232V405 / Symbol: (cont'd)							
	20.000	9.47	02/10/20	13.02	3.55 W	0.00	85 of 270 - Sale ²⁵
	34.000	16.10	02/10/20	22.46	6.36 W	0.00	86 of 270 - Sale ²⁵
	32.000	15.16	02/10/20	19.67	4.51 W	0.00	87 of 270 - Sale ²⁵
	48.000	22.73	02/10/20	29.51	6.78 W	0.00	88 of 270 - Sale ²⁵
	52.000	24.63	02/10/20	31.97	7.34 W	0.00	89 of 270 - Sale ²⁵
	14.000	6.63	02/10/20	8.60	1.97 W	0.00	90 of 270 - Sale ²⁵
	16.000	7.58	02/10/20	12.35	4.77 W	0.00	91 of 270 - Sale ²⁵
	34.000	16.10	02/10/20	26.28	10.18 W	0.00	92 of 270 - Sale ²⁵
	2.000	0.95	02/10/20	1.52	0.57 W	0.00	93 of 270 - Sale ²⁵
	4.000	1.89	02/10/20	3.06	1.17 W	0.00	94 of 270 - Sale ²⁵
	30.000	14.21	02/10/20	22.89	8.68 W	0.00	95 of 270 - Sale ²⁵
	8.000	3.79	02/10/20	6.10	2.31 W	0.00	96 of 270 - Sale ²⁵
	6.000	2.84	02/10/20	4.36	1.52 W	0.00	97 of 270 - Sale ²⁵
	6.000	2.84	02/10/20	4.36	1.52 W	0.00	98 of 270 - Sale ²⁵
	80.000	37.89	02/10/20	58.09	20.20 W	0.00	99 of 270 - Sale ²⁵
	60.000	28.42	02/10/20	43.56	15.14 W	0.00	100 of 270 - Sale ²⁵
	6.000	2.84	02/10/20	4.30	1.46 W	0.00	101 of 270 - Sale ²⁵
	34.000	16.10	02/10/20	24.38	8.28 W	0.00	102 of 270 - Sale ²⁵
	6.000	2.84	02/10/20	4.30	1.46 W	0.00	103 of 270 - Sale ²⁵
	94.000	44.52	02/10/20	67.38	22.86 W	0.00	104 of 270 - Sale ²⁵
	6.000	2.84	02/10/20	4.30	1.46 W	0.00	105 of 270 - Sale ²⁵
	94.000	44.52	02/10/20	67.38	22.86 W	0.00	106 of 270 - Sale ²⁵
	14.000	6.63	02/10/20	10.04	3.41 W	0.00	107 of 270 - Sale ²⁵
	6.000	2.84	02/10/20	4.68	1.84 W	0.00	108 of 270 - Sale ²⁵
	34.000	16.10	02/10/20	26.26	10.16 W	0.00	109 of 270 - Sale ²⁵
	46.000	21.79	02/10/20	35.50	13.71 W	0.00	110 of 270 - Sale ²⁵
	14.000	6.63	02/10/20	10.81	4.18 W	0.00	111 of 270 - Sale ²⁵
	40.000	18.94	02/10/20	30.88	11.94 W	0.00	112 of 270 - Sale ²⁵
	46.000	21.79	02/10/20	35.49	13.70 W	0.00	113 of 270 - Sale ²⁵
	14.000	6.63	02/10/20	10.81	4.18 W	0.00	114 of 270 - Sale ²⁵
	16.000	7.58	02/10/20	14.29	6.71 W	0.00	115 of 270 - Sale ²⁵
	34.000	16.10	02/10/20	30.41	14.31 W	0.00	116 of 270 - Sale ²⁵
	2.000	0.95	02/10/20	1.76	0.81 W	0.00	117 of 270 - Sale ²⁵
	4.000	1.89	02/10/20	3.55	1.66 W	0.00	118 of 270 - Sale ²⁵

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2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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ONCONOVA THERAPEUTICS, INC. CO MMON STOCK / CUSIP: 68232V405 / Symbol: (cont'd)							
	30.000	14.21	02/10/20	26.53	12.32 W	0.00	119 of 270 - Sale ²⁵
	8.000	3.79	02/10/20	7.07	3.28 W	0.00	120 of 270 - Sale ²⁵
	6.000	2.84	02/10/20	4.64	1.80 W	0.00	121 of 270 - Sale ²⁵
	40.000	18.94	02/10/20	30.88	11.94 W	0.00	122 of 270 - Sale ²⁵
	46.000	21.79	02/10/20	35.50	13.71 W	0.00	123 of 270 - Sale ²⁵
	14.000	6.63	02/10/20	10.94	4.31 W	0.00	124 of 270 - Sale ²⁵
	14.000	6.63	02/10/20	10.81	4.18 W	0.00	125 of 270 - Sale ²⁵
	34.000	16.10	02/10/20	26.59	10.49 W	0.00	126 of 270 - Sale ²⁵
	6.000	2.84	02/10/20	5.09	2.25 W	0.00	127 of 270 - Sale ²⁵
	32.000	15.16	02/10/20	27.12	11.96 W	0.00	128 of 270 - Sale ²⁵
	6.000	2.84	02/10/20	5.09	2.25 W	0.00	129 of 270 - Sale ²⁵
	46.000	21.79	02/10/20	38.97	17.18 W	0.00	130 of 270 - Sale ²⁵
	48.000	22.73	02/10/20	40.67	17.94 W	0.00	131 of 270 - Sale ²⁵
	14.000	6.63	02/10/20	11.86	5.23 W	0.00	132 of 270 - Sale ²⁵
	6.000	2.84	02/10/20	5.03	2.19 W	0.00	133 of 270 - Sale ²⁵
	34.000	16.10	02/10/20	28.50	12.40 W	0.00	134 of 270 - Sale ²⁵
	46.000	21.79	02/10/20	38.55	16.76 W	0.00	135 of 270 - Sale ²⁵
	6.000	2.84	02/10/20	5.03	2.19 W	0.00	136 of 270 - Sale ²⁵
	48.000	22.73	02/10/20	40.23	17.50 W	0.00	137 of 270 - Sale ²⁵
	46.000	21.79	02/10/20	38.55	16.76 W	0.00	138 of 270 - Sale ²⁵
	6.000	2.84	02/10/20	5.03	2.19 W	0.00	139 of 270 - Sale ²⁵
	14.000	6.63	02/10/20	11.74	5.11 W	0.00	140 of 270 - Sale ²⁵
	48.000	22.73	02/10/20	40.22	17.49 W	0.00	141 of 270 - Sale ²⁵
	32.000	15.16	02/10/20	23.55	8.39 W	0.00	142 of 270 - Sale ²⁵
	48.000	22.73	02/10/20	35.33	12.60 W	0.00	143 of 270 - Sale ²⁵
	52.000	24.63	02/10/20	38.27	13.64 W	0.00	144 of 270 - Sale ²⁵
	16.000	7.58	02/10/20	16.25	8.67 W	0.00	145 of 270 - Sale ²⁵
	34.000	16.10	02/10/20	34.57	18.47 W	0.00	146 of 270 - Sale ²⁵
	2.000	0.95	02/10/20	2.00	1.05 W	0.00	147 of 270 - Sale ²⁵
	4.000	1.89	02/10/20	4.04	2.15 W	0.00	148 of 270 - Sale ²⁵
	30.000	14.21	02/10/20	30.20	15.99 W	0.00	149 of 270 - Sale ²⁵
	14.000	6.63	02/10/20	10.30	3.67 W	0.00	150 of 270 - Sale ²⁵
	8.000	3.79	02/10/20	8.05	4.26 W	0.00	151 of 270 - Sale ²⁵
	6.000	2.84	02/10/20	5.42	2.58 W	0.00	152 of 270 - Sale ²⁵

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(continued)

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ONCONOVA THERAPEUTICS, INC. CO MMON STOCK / CUSIP: 68232V405 / Symbol: (cont'd)							
	6.000	2.84	02/10/20	5.37	2.53 W	0.00	153 of 270 - Sale ²⁵
	34.000	16.10	02/10/20	30.42	14.32 W	0.00	154 of 270 - Sale ²⁵
	46.000	21.79	02/10/20	41.13	19.34 W	0.00	155 of 270 - Sale ²⁵
	8.000	3.79	02/10/20	7.15	3.36 W	0.00	156 of 270 - Sale ²⁵
	6.000	2.84	02/10/20	5.37	2.53 W	0.00	157 of 270 - Sale ²⁵
	40.000	18.94	02/10/20	35.78	16.84 W	0.00	158 of 270 - Sale ²⁵
	46.000	21.79	02/10/20	41.12	19.33 W	0.00	159 of 270 - Sale ²⁵
	6.000	2.84	02/10/20	5.38	2.54 W	0.00	160 of 270 - Sale ²⁵
	8.000	3.79	02/10/20	7.15	3.36 W	0.00	161 of 270 - Sale ²⁵
	40.000	18.94	02/10/20	35.78	16.84 W	0.00	162 of 270 - Sale ²⁵
	46.000	21.79	02/10/20	41.13	19.34 W	0.00	163 of 270 - Sale ²⁵
	14.000	6.63	02/10/20	12.52	5.89 W	0.00	164 of 270 - Sale ²⁵
	14.000	6.63	02/10/20	12.65	6.02 W	0.00	165 of 270 - Sale ²⁵
	34.000	16.10	02/10/20	30.75	14.65 W	0.00	166 of 270 - Sale ²⁵
	6.000	2.84	02/10/20	5.83	2.99 W	0.00	167 of 270 - Sale ²⁵
	1,262.000	595.63	02/11/20	909.89	227.10 W	-87.16	168 of 270 - Sale ²⁵
	32.000	15.16	02/11/20	39.77	24.61 W	0.00	169 of 270 - Sale ²⁵
	11.000	5.21	02/11/20	13.66	8.45 W	0.00	170 of 270 - Sale ²⁵
	2.000	0.95	02/11/20	2.49	1.54 W	0.00	171 of 270 - Sale ²⁵
	6.000	2.85	02/11/20	6.45	3.60 W	0.00	172 of 270 - Sale ²⁵
	32.000	15.15	02/11/20	34.36	19.21 W	0.00	173 of 270 - Sale ²⁵
	1.000	0.47	02/11/20	1.07	0.60 W	0.00	174 of 270 - Sale ²⁵
	48.000	22.73	02/11/20	51.53	28.80 W	0.00	175 of 270 - Sale ²⁵
	14.000	6.63	02/11/20	15.03	8.40 W	0.00	176 of 270 - Sale ²⁵
	45.000	21.31	02/11/20	48.31	27.00 W	0.00	177 of 270 - Sale ²⁵
	6.000	2.85	02/11/20	6.39	3.54 W	0.00	178 of 270 - Sale ²⁵
	34.000	16.10	02/11/20	36.20	20.10 W	0.00	179 of 270 - Sale ²⁵
	1.000	0.47	02/11/20	1.06	0.59 W	0.00	180 of 270 - Sale ²⁵
	6.000	2.85	02/11/20	6.39	3.54 W	0.00	181 of 270 - Sale ²⁵
	45.000	21.31	02/11/20	47.89	26.58 W	0.00	182 of 270 - Sale ²⁵
	1.000	0.47	02/11/20	1.06	0.59 W	0.00	183 of 270 - Sale ²⁵
	48.000	22.73	02/11/20	51.09	28.36 W	0.00	184 of 270 - Sale ²⁵
	6.000	2.85	02/11/20	6.39	3.54 W	0.00	185 of 270 - Sale ²⁵
	1.000	0.47	02/11/20	1.07	0.60 W	0.00	186 of 270 - Sale ²⁵

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Robinhood Securities LLC

Account 990636185

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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ONCONOVA THERAPEUTICS, INC. CO MMON STOCK / CUSIP: 68232V405 / Symbol: (cont'd)							
	45.000	21.31	02/11/20	47.90	26.59 W	0.00	187 of 270 - Sale ²⁵
	48.000	22.73	02/11/20	51.08	28.35 W	0.00	188 of 270 - Sale ²⁵
	13.000	6.16	02/11/20	13.84	7.68 W	0.00	189 of 270 - Sale ²⁵
	32.000	15.15	02/11/20	30.79	15.64 W	0.00	190 of 270 - Sale ²⁵
	48.000	22.73	02/11/20	46.19	23.46 W	0.00	191 of 270 - Sale ²⁵
	7.000	3.32	02/11/20	6.74	3.42 W	0.00	192 of 270 - Sale ²⁵
	14.000	6.63	02/11/20	13.47	6.84 W	0.00	193 of 270 - Sale ²⁵
	45.000	21.31	02/11/20	43.30	21.99 W	0.00	194 of 270 - Sale ²⁵
	2.000	0.95	02/11/20	2.99	2.04 W	0.00	195 of 270 - Sale ²⁵
	7.000	3.31	02/11/20	10.46	7.15 W	0.00	196 of 270 - Sale ²⁵
	32.000	15.16	02/11/20	47.86	32.70 W	0.00	197 of 270 - Sale ²⁵
	4.000	1.89	02/11/20	5.98	4.09 W	0.00	198 of 270 - Sale ²⁵
	5.000	2.37	02/11/20	6.34	3.97 W	0.00	199 of 270 - Sale ²⁵
	2.000	0.95	02/11/20	2.50	1.55 W	0.00	200 of 270 - Sale ²⁵
	4.000	1.89	02/11/20	5.06	3.17 W	0.00	201 of 270 - Sale ²⁵
	8.000	3.79	02/11/20	10.07	6.28 W	0.00	202 of 270 - Sale ²⁵
	30.000	14.20	02/11/20	37.79	23.59 W	0.00	203 of 270 - Sale ²⁵
	6.000	2.84	02/11/20	6.94	4.10 W	0.00	204 of 270 - Sale ²⁵
	34.000	16.10	02/11/20	39.02	22.92 W	0.00	205 of 270 - Sale ²⁵
	7.000	3.31	02/11/20	8.03	4.72 W	0.00	206 of 270 - Sale ²⁵
	6.000	2.84	02/11/20	6.89	4.05 W	0.00	207 of 270 - Sale ²⁵
	8.000	3.79	02/11/20	9.17	5.38 W	0.00	208 of 270 - Sale ²⁵
	40.000	18.94	02/11/20	45.90	26.96 W	0.00	209 of 270 - Sale ²⁵
	39.000	18.46	02/11/20	44.73	26.27 W	0.00	210 of 270 - Sale ²⁵
	7.000	3.31	02/11/20	8.03	4.72 W	0.00	211 of 270 - Sale ²⁵
	14.000	6.63	02/11/20	16.05	9.42 W	0.00	212 of 270 - Sale ²⁵
	6.000	2.83	02/11/20	6.89	4.06 W	0.00	213 of 270 - Sale ²⁵
	8.000	3.78	02/11/20	9.17	5.39 W	0.00	214 of 270 - Sale ²⁵
	40.000	18.88	02/11/20	45.90	27.02 W	0.00	215 of 270 - Sale ²⁵
	25.000	11.80	02/11/20	28.67	16.87 W	0.00	216 of 270 - Sale ²⁵
	7.000	3.31	02/11/20	8.03	4.72 W	0.00	217 of 270 - Sale ²⁵
	6.000	2.83	02/11/20	6.90	4.07 W	0.00	218 of 270 - Sale ²⁵
	14.000	6.61	02/11/20	16.06	9.45 W	0.00	219 of 270 - Sale ²⁵
	14.000	6.61	02/11/20	16.19	9.58 W	0.00	220 of 270 - Sale ²⁵

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Account 990636185

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2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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ONCONOVA THERAPEUTICS, INC. CO MMON STOCK / CUSIP: 68232V405 / Symbol: (cont'd)							
	34.000	16.05	02/11/20	39.35	23.30 W	0.00	221 of 270 - Sale ²⁵
	39.000	18.41	02/11/20	44.73	26.32 W	0.00	222 of 270 - Sale ²⁵
	6.000	2.83	02/11/20	7.35	4.52 W	0.00	223 of 270 - Sale ²⁵
	14.000	6.61	02/11/20	18.57	11.96 W	0.00	224 of 270 - Sale ²⁵
	32.000	15.10	02/11/20	42.46	27.36 W	0.00	225 of 270 - Sale ²⁵
	2.000	0.94	02/11/20	3.48	2.54 W	0.00	226 of 270 - Sale ²⁵
	4.000	1.89	02/11/20	6.97	5.08 W	0.00	227 of 270 - Sale ²⁵
	7.000	3.30	02/11/20	12.20	8.90 W	0.00	228 of 270 - Sale ²⁵
	32.000	15.10	02/11/20	55.77	40.67 W	0.00	229 of 270 - Sale ²⁵
	5.000	2.36	02/11/20	7.58	5.22 W	0.00	230 of 270 - Sale ²⁵
	2.000	0.94	02/11/20	2.99	2.05 W	0.00	231 of 270 - Sale ²⁵
	4.000	1.89	02/11/20	6.05	4.16 W	0.00	232 of 270 - Sale ²⁵
	8.000	3.78	02/11/20	12.05	8.27 W	0.00	233 of 270 - Sale ²⁵
	30.000	14.16	02/11/20	45.22	31.06 W	0.00	234 of 270 - Sale ²⁵
	6.000	2.83	02/11/20	8.43	5.60 W	0.00	235 of 270 - Sale ²⁵
	6.000	2.83	02/11/20	8.38	5.55 W	0.00	236 of 270 - Sale ²⁵
	6.000	2.83	02/11/20	8.39	5.56 W	0.00	237 of 270 - Sale ²⁵
	7.000	3.30	02/11/20	9.77	6.47 W	0.00	238 of 270 - Sale ²⁵
	7.000	3.30	02/11/20	9.77	6.47 W	0.00	239 of 270 - Sale ²⁵
	7.000	3.30	02/11/20	9.77	6.47 W	0.00	240 of 270 - Sale ²⁵
	8.000	3.78	02/11/20	11.15	7.37 W	0.00	241 of 270 - Sale ²⁵
	8.000	3.78	02/11/20	11.16	7.38 W	0.00	242 of 270 - Sale ²⁵
	14.000	6.61	02/11/20	19.51	12.90 W	0.00	243 of 270 - Sale ²⁵
	25.000	11.80	02/11/20	34.90	23.10 W	0.00	244 of 270 - Sale ²⁵
	34.000	16.05	02/11/20	47.43	31.38 W	0.00	245 of 270 - Sale ²⁵
	39.000	18.41	02/11/20	54.39	35.98 W	0.00	246 of 270 - Sale ²⁵
	40.000	18.88	02/11/20	55.80	36.92 W	0.00	247 of 270 - Sale ²⁵
	40.000	18.88	02/11/20	55.86	36.98 W	0.00	248 of 270 - Sale ²⁵
	1.000	0.47	02/11/20	1.32	0.85 W	0.00	249 of 270 - Sale ²⁵
	6.000	2.83	02/11/20	7.93	5.10 W	0.00	250 of 270 - Sale ²⁵
	14.000	6.61	02/11/20	18.49	11.88 W	0.00	251 of 270 - Sale ²⁵
	34.000	16.05	02/11/20	44.91	28.86 W	0.00	252 of 270 - Sale ²⁵
	45.000	21.24	02/11/20	59.44	38.20 W	0.00	253 of 270 - Sale ²⁵
	1.000	0.47	02/11/20	1.31	0.84 W	0.00	254 of 270 - Sale ²⁵

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(continued)

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ONCONOVA THERAPEUTICS, INC. CO MMON STOCK / CUSIP: 68232V405 / Symbol: (cont'd)							
	1.000	0.47	02/11/20	1.31	0.84 W	0.00	255 of 270 - Sale ²⁵
	1.000	0.47	02/11/20	1.32	0.85 W	0.00	256 of 270 - Sale ²⁵
	6.000	2.83	02/11/20	7.87	5.04 W	0.00	257 of 270 - Sale ²⁵
	6.000	2.83	02/11/20	7.87	5.04 W	0.00	258 of 270 - Sale ²⁵
	6.000	2.83	02/11/20	7.87	5.04 W	0.00	259 of 270 - Sale ²⁵
	13.000	6.14	02/11/20	17.05	10.91 W	0.00	260 of 270 - Sale ²⁵
	34.000	16.05	02/11/20	44.61	28.56 W	0.00	261 of 270 - Sale ²⁵
	45.000	21.24	02/11/20	59.03	37.79 W	0.00	262 of 270 - Sale ²⁵
	45.000	21.24	02/11/20	59.03	37.79 W	0.00	263 of 270 - Sale ²⁵
	48.000	22.65	02/11/20	62.97	40.32 W	0.00	264 of 270 - Sale ²⁵
	48.000	22.65	02/11/20	62.96	40.31 W	0.00	265 of 270 - Sale ²⁵
	7.000	3.30	02/11/20	8.47	5.17 W	0.00	266 of 270 - Sale ²⁵
	14.000	6.61	02/11/20	16.93	10.32 W	0.00	267 of 270 - Sale ²⁵
	32.000	15.10	02/11/20	38.71	23.61 W	0.00	268 of 270 - Sale ²⁵
	45.000	21.24	02/11/20	54.43	33.19 W	0.00	269 of 270 - Sale ²⁵
	48.000	22.65	02/11/20	58.07	35.42 W	0.00	270 of 270 - Sale ²⁵
02/19/20	9,346.000	4,422.40	Various	7,117.79	2,608.23 W	-87.16	Total of 270 transactions
	58 transactions for 02/28/20. Total proceeds and cost reported to the IRS.						
	39.000	15.63	02/11/20	48.71	...	-33.08	1 of 58 - Sale ²⁵
	14.000	5.61	02/11/20	17.49	...	-11.88	2 of 58 - Sale ²⁵
	6.000	2.41	02/11/20	7.52	...	-5.11	3 of 58 - Sale ²⁵
	3.000	1.20	02/11/20	3.78	...	-2.58	4 of 58 - Sale ²⁵
	600.000	240.50	02/20/20	503.35	...	-262.85	5 of 58 - Sale ²⁵
	48.000	19.24	02/20/20	67.06	...	-47.82	6 of 58 - Sale ²⁵
	48.000	19.24	02/20/20	67.05	...	-47.81	7 of 58 - Sale ²⁵
	32.000	12.83	02/20/20	58.54	...	-45.71	8 of 58 - Sale ²⁵
	45.000	18.04	02/20/20	62.85	...	-44.81	9 of 58 - Sale ²⁵
	45.000	18.04	02/20/20	62.85	...	-44.81	10 of 58 - Sale ²⁵
	40.000	16.03	02/20/20	59.32	...	-43.29	11 of 58 - Sale ²⁵
	40.000	16.03	02/20/20	59.26	...	-43.23	12 of 58 - Sale ²⁵
	48.000	19.24	02/20/20	62.16	...	-42.92	13 of 58 - Sale ²⁵
	39.000	15.63	02/20/20	57.76	...	-42.13	14 of 58 - Sale ²⁵
	45.000	18.04	02/20/20	58.25	...	-40.21	15 of 58 - Sale ²⁵
	34.000	13.63	02/20/20	50.37	...	-36.74	16 of 58 - Sale ²⁵

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ONCONOVA THERAPEUTICS, INC. CO MMON STOCK / CUSIP: 68232V405 / Symbol: (cont'd)							
	30.000	12.03	02/20/20	47.82	...	-35.79	17 of 58 - Sale ²⁵
	34.000	13.63	02/20/20	47.85	...	-34.22	18 of 58 - Sale ²⁵
	34.000	13.63	02/20/20	47.50	...	-33.87	19 of 58 - Sale ²⁵
	32.000	12.83	02/20/20	45.23	...	-32.40	20 of 58 - Sale ²⁵
	32.000	12.83	02/20/20	41.43	...	-28.60	21 of 58 - Sale ²⁵
	25.000	10.02	02/20/20	37.06	...	-27.04	22 of 58 - Sale ²⁵
	31.000	12.43	02/20/20	38.55	...	-26.12	23 of 58 - Sale ²⁵
	62.000	24.85	02/20/20	49.97	...	-25.12	24 of 58 - Sale ²⁵
	24.000	9.62	02/20/20	33.74	...	-24.12	25 of 58 - Sale ²⁵
	21.000	8.42	02/20/20	29.56	...	-21.14	26 of 58 - Sale ²⁵
	14.000	5.61	02/20/20	20.72	...	-15.11	27 of 58 - Sale ²⁵
	14.000	5.61	02/20/20	19.78	...	-14.17	28 of 58 - Sale ²⁵
	14.000	5.61	02/20/20	19.68	...	-14.07	29 of 58 - Sale ²⁵
	13.000	5.21	02/20/20	18.15	...	-12.94	30 of 58 - Sale ²⁵
	14.000	5.61	02/20/20	18.12	...	-12.51	31 of 58 - Sale ²⁵
	14.000	5.61	02/20/20	17.40	...	-11.79	32 of 58 - Sale ²⁵
	7.000	2.81	02/20/20	12.81	...	-10.00	33 of 58 - Sale ²⁵
	8.000	3.21	02/20/20	12.74	...	-9.53	34 of 58 - Sale ²⁵
	8.000	3.21	02/20/20	11.85	...	-8.64	35 of 58 - Sale ²⁵
	8.000	3.21	02/20/20	11.84	...	-8.63	36 of 58 - Sale ²⁵
	7.000	2.81	02/20/20	10.38	...	-7.57	37 of 58 - Sale ²⁵
	7.000	2.81	02/20/20	10.38	...	-7.57	38 of 58 - Sale ²⁵
	7.000	2.81	02/20/20	10.38	...	-7.57	39 of 58 - Sale ²⁵
	6.000	2.41	02/20/20	8.95	...	-6.54	40 of 58 - Sale ²⁵
	6.000	2.41	02/20/20	8.91	...	-6.50	41 of 58 - Sale ²⁵
	6.000	2.41	02/20/20	8.90	...	-6.49	42 of 58 - Sale ²⁵
	7.000	2.81	02/20/20	9.07	...	-6.26	43 of 58 - Sale ²⁵
	6.000	2.41	02/20/20	8.45	...	-6.04	44 of 58 - Sale ²⁵
	5.000	2.00	02/20/20	8.01	...	-6.01	45 of 58 - Sale ²⁵
	6.000	2.41	02/20/20	8.38	...	-5.97	46 of 58 - Sale ²⁵
	6.000	2.41	02/20/20	8.38	...	-5.97	47 of 58 - Sale ²⁵
	6.000	2.41	02/20/20	8.38	...	-5.97	48 of 58 - Sale ²⁵
	4.000	1.60	02/20/20	7.31	...	-5.71	49 of 58 - Sale ²⁵
	6.000	2.41	02/20/20	7.87	...	-5.46	50 of 58 - Sale ²⁵

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ONCONOVA THERAPEUTICS, INC. CO MMON STOCK / CUSIP: 68232V405 / Symbol: (cont'd)							
	4.000	1.60	02/20/20	6.39	...	-4.79	51 of 58 - Sale ²⁵
	2.000	0.80	02/20/20	3.66	...	-2.86	52 of 58 - Sale ²⁵
	2.000	0.80	02/20/20	3.17	...	-2.37	53 of 58 - Sale ²⁵
	1.000	0.40	02/20/20	1.41	...	-1.01	54 of 58 - Sale ²⁵
	1.000	0.40	02/20/20	1.41	...	-1.01	55 of 58 - Sale ²⁵
	1.000	0.40	02/20/20	1.40	...	-1.00	56 of 58 - Sale ²⁵
	1.000	0.40	02/20/20	1.40	...	-1.00	57 of 58 - Sale ²⁵
	250.000	100.21	02/24/20	191.15	...	-90.94	58 of 58 - Sale ²⁵
02/28/20	1,912.000	766.46	Various	2,161.86	...	-1,395.40	Total of 58 transactions
	Security total:	6,869.57		11,157.49	2,608.23 W	-1,679.69	
ONE STOP SYSTEMS, INC. COMMON STOCK / CUSIP: 68247W109 / Symbol:							
07/21/20	10.000	23.60	01/28/20	26.85	...	-3.25	Sale ²⁵
OPKO HEALTH, INC. COMMON STOCK / CUSIP: 68375N103 / Symbol:							
03/13/20	18.000	36.00	03/06/20	52.02	...	-16.02	Sale ²⁵
ORAGENICS INC. / CUSIP: 684023302 / Symbol:							
	11 transactions for 02/10/20. Total proceeds and cost reported to the IRS.						
	100.000	57.99	02/05/20	46.12	...	11.87	1 of 11 - Sale ²⁵
	131.000	74.91	02/05/20	60.57	...	14.34	2 of 11 - Sale ²⁵
	519.000	296.29	02/05/20	239.99	...	56.30	3 of 11 - Sale ²⁵
	299.000	167.46	02/07/20	197.06	...	-29.60	4 of 11 - Sale ²⁵
	201.000	112.57	02/07/20	135.56	...	-22.99	5 of 11 - Sale ²⁵
	129.000	72.25	02/07/20	86.83	...	-14.58	6 of 11 - Sale ²⁵
	74.000	42.91	02/07/20	42.89	...	0.02	7 of 11 - Sale ²⁵
	180.000	104.38	02/07/20	104.33	...	0.05	8 of 11 - Sale ²⁵
	46.000	26.67	02/07/20	26.61	...	0.06	9 of 11 - Sale ²⁵
	350.000	196.02	02/10/20	240.59	...	-44.57	10 of 11 - Sale ²⁵
	70.000	39.20	02/10/20	44.79	...	-5.59	11 of 11 - Sale ²⁵
02/10/20	2,099.000	1,190.65	Various	1,225.34	...	-34.69	Total of 11 transactions
	15 transactions for 02/10/20. Total proceeds and cost reported to the IRS.						
	271.000	151.78	02/07/20	183.17	23.17 W	-8.22	1 of 15 - Sale ²⁵
	96.000	54.81	02/07/20	55.67	0.86 W	0.00	2 of 15 - Sale ²⁵

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Robinhood Securities LLC

Account 990636185

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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ORAGENICS INC. / CUSIP: 684023302 / Symbol: (cont'd)							
	180.000	102.58	02/07/20	104.38	1.80 W	0.00	3 of 15 - Sale ²⁵
	474.000	270.12	02/07/20	274.87	4.75 W	0.00	4 of 15 - Sale ²⁵
	150.000	85.88	02/07/20	86.98	1.10 W	0.00	5 of 15 - Sale ²⁵
	50.000	28.62	02/07/20	28.93	0.31 W	0.00	6 of 15 - Sale ²⁵
	50.000	28.99	02/07/20	31.70	2.71 W	0.00	7 of 15 - Sale ²⁵
	150.000	86.98	02/07/20	95.29	8.31 W	0.00	8 of 15 - Sale ²⁵
	400.000	231.95	02/07/20	255.17	23.22 W	0.00	9 of 15 - Sale ²⁵
	400.000	231.95	02/07/20	251.16	19.21 W	0.00	10 of 15 - Sale ²⁵
	500.000	289.93	02/07/20	314.65	24.72 W	0.00	11 of 15 - Sale ²⁵
	50.000	28.00	02/07/20	34.17	6.17 W	0.00	12 of 15 - Sale ²⁵
	50.000	28.00	02/07/20	34.24	6.24 W	0.00	13 of 15 - Sale ²⁵
	400.000	224.03	02/07/20	274.94	50.91 W	0.00	14 of 15 - Sale ²⁵
	100.000	56.01	02/07/20	68.33	12.32 W	0.00	15 of 15 - Sale ²⁵
02/10/20	3,321.000	1,899.63	Various	2,093.65	185.80 W	-8.22	Total of 15 transactions
	5 transactions for 02/11/20. Total proceeds and cost reported to the IRS.						
	400.000	216.47	02/10/20	289.31	...	-72.84	1 of 5 - Sale ²⁵
	200.000	108.23	02/10/20	142.37	...	-34.14	2 of 5 - Sale ²⁵
	100.000	54.12	02/10/20	71.92	...	-17.80	3 of 5 - Sale ²⁵
	50.000	27.06	02/10/20	36.04	...	-8.98	4 of 5 - Sale ²⁵
	50.000	27.06	02/10/20	35.97	...	-8.91	5 of 5 - Sale ²⁵
02/11/20	800.000	432.94	Various	575.61	...	-142.67	Total of 5 transactions
07/22/20	75.000	116.99	07/21/20	126.38	...	-9.39	Sale ²⁵
09/22/20	25.000	17.38	07/21/20	42.12	...	-24.74	Sale ²⁵
	Security total:	3,657.59		4,063.10	185.80 W	-219.71	
ORBCOMM INC. COMMON STOCK / CUSIP: 68555P100 / Symbol:							
03/05/20	75.000	238.14	01/31/20	269.25	...	-31.11	Sale ²⁵
ORGANOVO HOLDINGS, INC. COMMON STOCK / CUSIP: 68620A104 / Symbol:							
	3 transactions for 03/03/20. Total proceeds and cost reported to the IRS.						
	100.000	33.81	02/06/20	32.86	...	0.95	1 of 3 - Sale ²⁵
	100.000	33.81	02/06/20	32.86	...	0.95	2 of 3 - Sale ²⁵
	300.000	100.97	02/06/20	98.58	...	2.39	3 of 3 - Sale ²⁵
03/03/20	500.000	168.59	Various	164.30	...	4.29	Total of 3 transactions

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(continued)

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OUTLOOK THERAPEUTICS, INC. COM MON STOCK / CUSIP: 69012T206 / Symbol:							
03/02/20	7.000	5.88	01/27/20	6.63	...	-0.75	Sale ²⁵
PACIFIC ETHANOL, INC. COMMON S TOCK / CUSIP: 69423U305 / Symbol:							
<i>3 transactions for 12/15/20. Total proceeds and cost reported to the IRS.</i>							
	1.991	12.31	09/22/20	16.13	...	-3.82	1 of 3 - Sale ²⁵
	0.469	2.90	09/22/20	3.80	...	-0.90	2 of 3 - Sale ²⁵
	0.009	0.05	09/22/20	0.07	...	-0.02	3 of 3 - Sale ²⁵
12/15/20	2.469	15.26	Various	20.00	...	-4.74	Total of 3 transactions
PALANTIR TECHNOLOGIES INC. CLA SS A COMMON STOCK / CUSIP: 69608A108 / Symbol:							
<i>5 transactions for 12/08/20. Total proceeds and cost reported to the IRS.</i>							
	0.000	0.01	11/30/20	0.01	...	0.00	1 of 5 - Sale ²⁵
	0.472	13.83	11/30/20	13.58	...	0.25	2 of 5 - Sale ²⁵
	0.513	15.05	11/30/20	14.55	...	0.50	3 of 5 - Sale ²⁵
	2.000	58.64	11/30/20	56.70	...	1.94	4 of 5 - Sale ²⁵
	6.487	190.19	11/30/20	186.42	...	3.77	5 of 5 - Sale ²⁵
12/08/20	9.472	277.72	Various	271.26	...	6.46	Total of 5 transactions
PINTEC TECHNOLOGY HOLDINGS LIM ITED AMERICAN DEPOSITARY SHARE S / CUSIP: 72352G107 / Symbol:							
07/21/20	35.000	49.00	02/04/20	91.04	...	-42.04	Sale ²⁵
PLATINUM GROUP METALS LTD. / CUSIP: 72765Q882 / Symbol:							
<i>2 transactions for 02/07/20. Total proceeds and cost reported to the IRS.</i>							
	50.000	115.00	01/23/20	131.00	...	-16.00	1 of 2 - Sale ²⁵
	50.000	115.00	01/31/20	109.50	...	5.50	2 of 2 - Sale ²⁵
02/07/20	100.000	230.00	Various	240.50	...	-10.50	Total of 2 transactions
PLUG POWER, INC. COMMON STOCK / CUSIP: 72919P202 / Symbol:							
<i>2 transactions for 02/11/20. Total proceeds and cost reported to the IRS.</i>							
	24.000	105.62	01/23/20	92.40	...	13.22	1 of 2 - Sale ²⁵
	120.000	528.11	02/07/20	512.32	...	15.79	2 of 2 - Sale ²⁵
02/11/20	144.000	633.73	Various	604.72	...	29.01	Total of 2 transactions
<i>3 transactions for 02/24/20. Total proceeds and cost reported to the IRS.</i>							
	7.000	35.30	02/18/20	32.68	...	2.62	1 of 3 - Sale ²⁵

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2020 1099-B* OMB No. 1545-0715

(continued)

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PLUG POWER, INC. COMMON STOCK / CUSIP: 72919P202 / Symbol: (cont'd)							
	55.000	278.84	02/18/20	256.74	...	22.10	2 of 3 - Sale ²⁵
	75.000	380.23	02/20/20	440.81	...	-60.58	3 of 3 - Sale ²⁵
02/24/20	137.000	694.37	Various	730.23	...	-35.86	Total of 3 transactions
	Security total:	1,328.10		1,334.95	...	-6.85	
QUALIGEN THERAPEUTICS, INC. CO MMON STOCK / CUSIP: 74754R103 / Symbol:							
09/22/20	4.000	20.60	03/03/20	51.00	...	-30.40	Sale ²⁵
RENESOLA LTD AMERICAN DEPOSITA RY (EACH REPRESENTING TEN SHAR ES) / CUSIP: 75971T301 / Symbol:							
5 transactions for 10/06/20. Total proceeds and cost reported to the IRS.							
	0.715	1.82	09/30/20	1.48	...	0.34	1 of 5 - Sale ²⁵
	47.597	120.61	09/30/20	98.52	...	22.09	2 of 5 - Sale ²⁵
	0.909	2.30	10/01/20	1.90	...	0.40	3 of 5 - Sale ²⁵
	94.787	240.18	10/01/20	198.10	...	42.08	4 of 5 - Sale ²⁵
	79.051	200.31	10/06/20	200.00	...	0.31	5 of 5 - Sale ²⁵
10/06/20	223.059	565.22	Various	500.00	...	65.22	Total of 5 transactions
2 transactions for 10/06/20. Total proceeds and cost reported to the IRS.							
	0.656	1.66	10/06/20	1.68	0.02 W	0.00	1 of 2 - Sale ²⁵
	97.000	245.79	10/06/20	248.32	2.53 W	0.00	2 of 2 - Sale ²⁵
10/06/20	97.656	247.45	Various	250.00	2.55 W	0.00	Total of 2 transactions
9 transactions for 10/12/20. Total proceeds and cost reported to the IRS.							
	0.003	0.01	10/07/20	0.01	...	0.00	1 of 9 - Sale ²⁵
	0.082	0.29	10/07/20	0.26	...	0.03	2 of 9 - Sale ²⁵
	0.656	2.37	10/07/20	2.03	...	0.34	3 of 9 - Sale ²⁵
	2.444	8.84	10/07/20	7.54	...	1.30	4 of 9 - Sale ²⁵
	32.133	115.67	10/07/20	103.02	...	12.65	5 of 9 - Sale ²⁵
	29.579	106.48	10/07/20	91.29	...	15.19	6 of 9 - Sale ²⁵
	32.680	117.64	10/07/20	100.85	...	16.79	7 of 9 - Sale ²⁵
	46.656	167.96	10/07/20	150.00	...	17.96	8 of 9 - Sale ²⁵
	87.867	316.30	10/07/20	279.41	...	36.89	9 of 9 - Sale ²⁵
10/12/20	232.101	835.56	Various	734.41	...	101.15	Total of 9 transactions

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2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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RENESOLA LTD AMERICAN DEPOSITA RY (EACH REPRESENTING TEN SHAR ES) / CUSIP: 75971T301 / Symbol: (cont'd)							
3 transactions for 11/24/20. Total proceeds and cost reported to the IRS.							
	0.020	0.10	10/13/20	0.08	...	0.02	1 of 3 - Sale ²⁵
	0.080	0.38	10/13/20	0.31	...	0.07	2 of 3 - Sale ²⁵
	63.920	303.14	10/13/20	249.61	...	53.53	3 of 3 - Sale ²⁵
11/24/20	64.020	303.62	Various	250.00	...	53.62	Total of 3 transactions
2 transactions for 11/24/20. Total proceeds and cost reported to the IRS.							
	0.100	0.48	11/20/20	0.55	0.07 W	0.00	1 of 2 - Sale ²⁵
	26.979	127.95	11/20/20	149.45	21.50 W	0.00	2 of 2 - Sale ²⁵
11/24/20	27.080	128.43	Various	150.00	21.57 W	0.00	Total of 2 transactions
11/30/20	0.030	0.22	11/27/20	0.22	...	0.00	Sale ²⁵
5 transactions for 11/30/20. Total proceeds and cost reported to the IRS.							
	0.051	0.37	11/27/20	0.42	0.05 W	0.00	1 of 5 - Sale ²⁵
	0.100	0.72	11/27/20	0.80	0.08 W	0.00	2 of 5 - Sale ²⁵
	26.928	193.34	11/27/20	219.83	26.49 W	0.00	3 of 5 - Sale ²⁵
	24.284	174.35	11/30/20	192.50	5.05 W	-13.10	4 of 5 - Sale ²⁵
	0.315	2.26	11/30/20	2.50	0.24 W	0.00	5 of 5 - Sale ²⁵
11/30/20	51.679	371.04	Various	416.05	31.91 W	-13.10	Total of 5 transactions
5 transactions for 12/23/20. Total proceeds and cost reported to the IRS.							
	0.049	0.48	12/01/20	0.48	...	0.00	1 of 5 - Sale ²⁵
	0.002	0.02	12/01/20	0.02	...	0.00	2 of 5 - Sale ²⁵
	0.100	0.98	12/01/20	0.96	...	0.02	3 of 5 - Sale ²⁵
	0.315	3.07	12/01/20	3.01	...	0.06	4 of 5 - Sale ²⁵
	6.754	65.80	12/01/20	64.38	...	1.42	5 of 5 - Sale ²⁵
12/23/20	7.221	70.35	Various	68.85	...	1.50	Total of 5 transactions
12/23/20	26.928	262.31	12/01/20	263.06	0.75 W	0.00	Sale ²⁵
	Security total:	2,784.20		2,632.59	56.78 W	208.39	

RENEWABLE ENERGY GROUP, INC. C OMMON STOCK / CUSIP: 75972A301 / Symbol:

4 transactions for 10/22/20. Total proceeds and cost reported to the IRS.

	0.046	2.76	10/01/20	2.49	...	0.27	1 of 4 - Sale ²⁵
	0.508	30.54	10/01/20	27.46	...	3.08	2 of 4 - Sale ²⁵

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(continued)

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RENEWABLE ENERGY GROUP, INC. C OMMON STOCK / CUSIP: 75972A301 / Symbol: (cont'd)							
	6.954	416.96	10/01/20	375.72	...	41.24	3 of 4 - Sale ²⁵
	11.000	660.42	10/01/20	594.33	...	66.09	4 of 4 - Sale ²⁵
10/22/20	18.508	1,110.68	Various	1,000.00	...	110.68	Total of 4 transactions
RITTER PHARMACEUTICALS, INC. C OMMON STOCK / CUSIP: 767836307 / Symbol:							
2 transactions for 05/18/20. Total proceeds and cost reported to the IRS.							
	167.000	103.52	03/03/20	85.17	...	18.35	1 of 2 - Sale ²⁵
	233.000	144.43	03/03/20	118.83	...	25.60	2 of 2 - Sale ²⁵
05/18/20	400.000	247.95	Various	204.00	...	43.95	Total of 2 transactions
SMILEDIRECTCLUB, INC. CLASS A COMMON STOCK / CUSIP: 83192H106 / Symbol:							
07/21/20	2.000	17.04	01/27/20	26.96	...	-9.92	Sale ²⁵
SOLAREEDGE TECHNOLOGIES, INC. C OMMON STOCK / CUSIP: 83417M104 / Symbol:							
02/04/20	5.000	521.44	01/28/20	496.30	...	25.14	Sale ²⁵
02/11/20	3.000	317.62	01/31/20	294.38	...	23.24	Sale ²⁵
2 transactions for 10/01/20. Total proceeds and cost reported to the IRS.							
	1.000	243.34	09/28/20	204.85	...	38.49	1 of 2 - Sale ²⁵
	1.000	243.34	09/29/20	230.95	...	12.39	2 of 2 - Sale ²⁵
10/01/20	2.000	486.68	Various	435.80	...	50.88	Total of 2 transactions
2 transactions for 10/12/20. Total proceeds and cost reported to the IRS.							
	0.002	0.53	10/07/20	0.51	...	0.02	1 of 2 - Sale ²⁵
	0.701	207.16	10/07/20	199.49	...	7.67	2 of 2 - Sale ²⁵
10/12/20	0.703	207.69	Various	200.00	...	7.69	Total of 2 transactions
11/06/20	2.000	463.89	11/02/20	462.00	...	1.89	Sale ²⁵
	Security total:	1,997.32		1,888.48	...	108.84	
SORRENTO THERAPEUTICS, INC. C OMMON STOCK / CUSIP: 83587F202 / Symbol:							
6 transactions for 05/18/20. Total proceeds and cost reported to the IRS.							
	1.000	8.02	01/06/20	3.45	...	4.57	1 of 6 - Sale ²⁵
	20.000	160.39	05/15/20	84.00	...	76.39	2 of 6 - Sale ²⁵
	25.000	175.25	05/18/20	294.51	...	-119.26	3 of 6 - Sale ²⁵
	24.000	168.23	05/18/20	282.72	...	-114.49	4 of 6 - Sale ²⁵
	20.000	140.20	05/18/20	198.00	...	-57.80	5 of 6 - Sale ²⁵

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SORRENTO THERAPEUTICS, INC. C OMMON STOCK / CUSIP: 83587F202 / Symbol: (cont'd)							
	1.000	7.01	05/18/20	13.97	...	-6.96	6 of 6 - Sale ²⁵
05/18/20	91.000	659.10	Various	876.65	...	-217.55	Total of 6 transactions
	6 transactions for 05/18/20. Total proceeds and cost reported to the IRS.						
	20.000	140.20	05/18/20	234.01	28.14 W	-65.67	1 of 6 - Sale ²⁵
	10.000	80.20	05/18/20	92.00	11.80 W	0.00	2 of 6 - Sale ²⁵
	20.000	160.39	05/18/20	196.40	36.01 W	0.00	3 of 6 - Sale ²⁵
	49.000	392.97	05/18/20	485.10	92.13 W	0.00	4 of 6 - Sale ²⁵
	1.000	7.01	05/18/20	11.08	4.07 W	0.00	5 of 6 - Sale ²⁵
	9.000	63.09	05/18/20	99.72	36.63 W	0.00	6 of 6 - Sale ²⁵
05/18/20	109.000	843.86	Various	1,118.31	208.78 W	-65.67	Total of 6 transactions
	3 transactions for 06/23/20. Total proceeds and cost reported to the IRS.						
	9.000	43.92	05/18/20	122.76	...	-78.84	1 of 3 - Sale ²⁵
	6.000	29.28	05/18/20	85.56	...	-56.28	2 of 3 - Sale ²⁵
	1.000	4.88	05/18/20	9.90	...	-5.02	3 of 3 - Sale ²⁵
06/23/20	16.000	78.08	Various	218.22	...	-140.14	Total of 3 transactions
	Security total:	1,581.04		2,213.18	208.78 W	-423.36	
SUNRUN INC. COMMON STOCK / CUSIP: 86771W105 / Symbol:							
10/15/20	0.884	68.14	10/05/20	69.88	...	-1.74	Cash in lieu
SUNWORKS, INC. COMMON STOCK / CUSIP: 86803X204 / Symbol:							
09/28/20	20.000	40.65	09/24/20	90.60	...	-49.95	Sale ²⁵
TESLA, INC. COMMON STOCK / CUSIP: 88160R101 / Symbol:							
	2 transactions for 02/05/20. Total proceeds and cost reported to the IRS.						
	1.000	816.98	02/03/20	760.56	...	56.42	1 of 2 - Sale ²⁵
	1.000	816.98	02/03/20	752.19	...	64.79	2 of 2 - Sale ²⁵
02/05/20	2.000	1,633.96	Various	1,512.75	...	121.21	Total of 2 transactions
02/05/20	1.000	816.98	02/04/20	913.39	96.41 W	0.00	Sale ²⁵
	3 transactions for 02/06/20. Total proceeds and cost reported to the IRS.						
	1.000	694.00	02/05/20	995.43	...	-301.43	1 of 3 - Sale ²⁵
	1.000	698.98	02/05/20	838.00	...	-139.02	2 of 3 - Sale ²⁵
	1.000	698.99	02/05/20	760.00	...	-61.01	3 of 3 - Sale ²⁵
02/06/20	3.000	2,091.97	Various	2,593.43	...	-501.46	Total of 3 transactions

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Account 990636185

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2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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TESLA, INC. COMMON STOCK / CUSIP: 88160R101 / Symbol: (cont'd)							
02/06/20	1.000	698.98	02/05/20	934.41	235.43 W	0.00	Sale ²⁵
	4 transactions for 09/23/20. Total proceeds and cost reported to the IRS.						
	1.000	384.13	09/08/20	358.39	...	25.74	1 of 4 - Sale ²⁵
	1.000	384.13	09/08/20	350.00	...	34.13	2 of 4 - Sale ²⁵
	1.000	384.12	09/08/20	347.00	...	37.12	3 of 4 - Sale ²⁵
	1.000	384.13	09/09/20	356.34	...	27.79	4 of 4 - Sale ²⁵
09/23/20	4.000	1,536.51	Various	1,411.73	...	124.78	Total of 4 transactions
	2 transactions for 09/23/20. Total proceeds and cost reported to the IRS.						
	2.000	768.25	09/02/20	886.98	118.73 W	0.00	1 of 2 - Sale ²⁵
	1.000	384.13	09/04/20	390.09	5.96 W	0.00	2 of 2 - Sale ²⁵
09/23/20	3.000	1,152.38	Various	1,277.07	124.69 W	0.00	Total of 2 transactions
	8 transactions for 09/29/20. Total proceeds and cost reported to the IRS.						
	0.069	28.48	09/09/20	28.21	...	0.27	1 of 8 - Sale ²⁵
	0.075	31.14	09/09/20	30.85	...	0.29	2 of 8 - Sale ²⁵
	0.000	0.16	09/24/20	0.15	...	0.01	3 of 8 - Sale ²⁵
	0.070	29.20	09/24/20	27.15	...	2.05	4 of 8 - Sale ²⁵
	0.069	28.80	09/24/20	26.37	...	2.43	5 of 8 - Sale ²⁵
	0.144	59.62	09/24/20	56.22	...	3.40	6 of 8 - Sale ²⁵
	0.124	51.23	09/24/20	47.64	...	3.59	7 of 8 - Sale ²⁵
	0.661	273.96	09/24/20	253.79	...	20.17	8 of 8 - Sale ²⁵
09/29/20	1.213	502.59	Various	470.38	...	32.21	Total of 8 transactions
	2 transactions for 09/29/20. Total proceeds and cost reported to the IRS.						
	1.000	414.49	09/24/20	423.85	9.36 W	0.00	1 of 2 - Sale ²⁵
	0.856	354.87	09/24/20	380.35	25.48 W	0.00	2 of 2 - Sale ²⁵
09/29/20	1.856	769.36	Various	804.20	34.84 W	0.00	Total of 2 transactions
10/05/20	0.000	0.05	09/30/20	0.05	...	0.00	Sale ²⁵
	4 transactions for 10/05/20. Total proceeds and cost reported to the IRS.						
	0.176	74.65	09/29/20	76.32	1.67 W	0.00	1 of 4 - Sale ²⁵
	0.082	34.85	09/29/20	35.63	0.78 W	0.00	2 of 4 - Sale ²⁵
	0.176	74.64	09/30/20	80.36	5.72 W	0.00	3 of 4 - Sale ²⁵
	0.743	315.81	09/30/20	324.88	9.07 W	0.00	4 of 4 - Sale ²⁵
10/05/20	1.176	499.95	Various	517.19	17.24 W	0.00	Total of 4 transactions

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2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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TESLA, INC. COMMON STOCK / CUSIP: 88160R101 / Symbol: (cont'd)							
8 transactions for 10/12/20. Total proceeds and cost reported to the IRS.							
	0.048	21.15	09/30/20	20.96	...	0.19	1 of 8 - Sale ²⁵
	0.053	23.32	09/30/20	23.11	...	0.21	2 of 8 - Sale ²⁵
	0.000	0.07	10/02/20	0.07	...	0.00	3 of 8 - Sale ²⁵
	0.048	21.12	10/02/20	20.39	...	0.73	4 of 8 - Sale ²⁵
	0.062	27.47	10/02/20	26.52	...	0.95	5 of 8 - Sale ²⁵
	0.082	36.22	10/02/20	35.21	...	1.01	6 of 8 - Sale ²⁵
	0.075	33.20	10/02/20	31.84	...	1.36	7 of 8 - Sale ²⁵
	0.082	36.26	10/02/20	34.79	...	1.47	8 of 8 - Sale ²⁵
10/12/20	0.449	198.81	Various	192.89	...	5.92	Total of 8 transactions
2 transactions for 10/12/20. Total proceeds and cost reported to the IRS.							
	0.082	36.22	09/30/20	37.47	1.25 W	0.00	1 of 2 - Sale ²⁵
	0.599	264.97	09/30/20	274.71	9.74 W	0.00	2 of 2 - Sale ²⁵
10/12/20	0.681	301.19	Various	312.18	10.99 W	0.00	Total of 2 transactions
5 transactions for 10/15/20. Total proceeds and cost reported to the IRS.							
	0.176	79.53	10/02/20	78.57	...	0.96	1 of 5 - Sale ²⁵
	0.048	21.58	10/02/20	20.54	...	1.04	2 of 5 - Sale ²⁵
	0.633	286.73	10/02/20	270.38	...	16.35	3 of 5 - Sale ²⁵
	0.551	249.66	10/12/20	252.84	...	-3.18	4 of 5 - Sale ²⁵
	0.579	262.20	10/12/20	256.12	...	6.08	5 of 5 - Sale ²⁵
10/15/20	1.985	899.70	Various	878.45	...	21.25	Total of 5 transactions
3 transactions for 12/10/20. Total proceeds and cost reported to the IRS.							
	0.001	0.61	11/30/20	0.59	...	0.02	1 of 3 - Sale ²⁵
	0.012	7.51	11/30/20	7.24	...	0.27	2 of 3 - Sale ²⁵
	1.000	614.65	11/30/20	592.17	...	22.48	3 of 3 - Sale ²⁵
12/10/20	1.013	622.77	Various	600.00	...	22.77	Total of 3 transactions
	Security total:	11,725.20		12,418.12	519.60 W	-173.32	
TOUGHBUILT INDUSTRIES, INC. CO MMON STOCK / CUSIP: 89157G207 / Symbol:							
2 transactions for 04/09/20. Total proceeds and cost reported to the IRS.							
	1,850.000	355.54	03/30/20	379.25	...	-23.71	1 of 2 - Sale ²⁵
	150.000	28.86	03/30/20	30.75	...	-1.89	2 of 2 - Sale ²⁵
04/09/20	2,000.000	384.40	Various	410.00	...	-25.60	Total of 2 transactions

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2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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UNITED AIRLINES HOLDINGS, INC. COMMON STOCK / CUSIP: 910047109 / Symbol:							
3 transactions for 06/04/20. Total proceeds and cost reported to the IRS.							
	2.000	70.38	04/09/20	62.76	...	7.62	1 of 3 - Sale ²⁵
	2.000	70.38	04/09/20	60.40	...	9.98	2 of 3 - Sale ²⁵
	4.000	140.77	04/09/20	125.09	...	15.68	3 of 3 - Sale ²⁵
06/04/20	8.000	281.53	Various	248.25	...	33.28	Total of 3 transactions
07/21/20	7.000	230.59	04/09/20	219.66	...	10.93	Sale ²⁵
	Security total:	512.12		467.91	...	44.21	
UNIVERSAL DISPLAY CORPORATION COMMON STOCK / CUSIP: 91347P105 / Symbol:							
2 transactions for 01/22/20. Total proceeds and cost reported to the IRS.							
	2.000	428.44	01/16/20	430.00	...	-1.56	1 of 2 - Sale ²⁵
	1.000	214.34	01/16/20	215.00	...	-0.66	2 of 2 - Sale ²⁵
01/22/20	3.000	642.78	Various	645.00	...	-2.22	Total of 2 transactions
VAXART, INC COMMON STOCK / CUSIP: 92243A200 / Symbol:							
3 transactions for 02/03/20. Total proceeds and cost reported to the IRS.							
	12.000	20.04	01/31/20	11.75	...	8.29	1 of 3 - Sale ²⁵
	100.000	167.00	01/31/20	124.00	...	43.00	2 of 3 - Sale ²⁵
	138.000	230.46	01/31/20	171.12	...	59.34	3 of 3 - Sale ²⁵
02/03/20	250.000	417.50	Various	306.87	...	110.63	Total of 3 transactions
4 transactions for 02/04/20. Total proceeds and cost reported to the IRS.							
	4.000	5.20	01/31/20	4.96	...	0.24	1 of 4 - Sale ²⁵
	58.000	75.39	01/31/20	71.92	...	3.47	2 of 4 - Sale ²⁵
	100.000	129.99	01/31/20	124.00	...	5.99	3 of 4 - Sale ²⁵
	100.000	129.99	01/31/20	124.00	...	5.99	4 of 4 - Sale ²⁵
02/04/20	262.000	340.57	Various	324.88	...	15.69	Total of 4 transactions
2 transactions for 02/04/20. Total proceeds and cost reported to the IRS.							
	179.000	218.36	02/03/20	298.91	32.40 W	-48.15	1 of 2 - Sale ²⁵
	88.000	114.39	02/03/20	146.95	32.56 W	0.00	2 of 2 - Sale ²⁵
02/04/20	267.000	332.75	Various	445.86	64.96 W	-48.15	Total of 2 transactions

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VAXART, INC COMMON STOCK / CUSIP: 92243A200 / Symbol: (cont'd)							
2 transactions for 02/06/20. Total proceeds and cost reported to the IRS.							
	88.000	89.81	02/04/20	132.88	...	-43.07	1 of 2 - Sale ²⁵
	62.000	63.28	02/04/20	98.58	...	-35.30	2 of 2 - Sale ²⁵
02/06/20	150.000	153.09	Various	231.46	...	-78.37	Total of 2 transactions
02/07/20	10.000	10.10	02/04/20	15.90	...	-5.80	Sale ²⁵
	Security total:	1,254.01		1,324.97	64.96 W	-6.00	
VIRGIN GALACTIC HOLDINGS, INC. / CUSIP: 92766K106 / Symbol:							
2 transactions for 02/19/20. Total proceeds and cost reported to the IRS.							
	171.000	5,663.37	02/19/20	5,801.33	...	-137.96	1 of 2 - Sale ²⁵
	2.000	66.24	02/19/20	67.76	...	-1.52	2 of 2 - Sale ²⁵
02/19/20	173.000	5,729.61	Various	5,869.09	...	-139.48	Total of 2 transactions
2 transactions for 02/19/20. Total proceeds and cost reported to the IRS.							
	2.000	66.80	02/18/20	68.16	1.36 W	0.00	1 of 2 - Sale ²⁵
	171.000	5,711.25	02/19/20	5,835.38	124.13 W	0.00	2 of 2 - Sale ²⁵
02/19/20	173.000	5,778.05	Various	5,903.54	125.49 W	0.00	Total of 2 transactions
	Security total:	11,507.66		11,772.63	125.49 W	-139.48	
VIVINT SOLAR, INC. / CUSIP: 92854Q106 / Symbol:							
5 transactions for 02/24/20. Total proceeds and cost reported to the IRS.							
	9.000	95.76	01/28/20	75.38	...	20.38	1 of 5 - Sale ²⁵
	21.000	223.43	02/19/20	245.04	...	-21.61	2 of 5 - Sale ²⁵
	4.000	42.56	02/19/20	46.80	...	-4.24	3 of 5 - Sale ²⁵
	200.000	2,127.93	02/20/20	2,499.98	...	-372.05	4 of 5 - Sale ²⁵
	100.000	1,063.96	02/20/20	1,250.00	...	-186.04	5 of 5 - Sale ²⁵
02/24/20	334.000	3,553.64	Various	4,117.20	...	-563.56	Total of 5 transactions
6 transactions for 10/02/20. Total proceeds and cost reported to the IRS.							
	0.323	13.82	09/23/20	11.26	...	2.56	1 of 6 - Sale ²⁵
	2.000	85.70	09/23/20	69.84	...	15.86	2 of 6 - Sale ²⁵
	11.993	513.87	09/23/20	418.90	...	94.97	3 of 6 - Sale ²⁵
	0.021	0.89	09/30/20	0.89	...	0.00	4 of 6 - Sale ²⁵
	7.000	299.94	09/30/20	299.11	...	0.83	5 of 6 - Sale ²⁵

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VIVINT SOLAR, INC. / CUSIP: 92854Q106 / Symbol: (cont'd)							
	1.945	83.34	10/01/20	86.68	...	-3.34	6 of 6 - Sale ²⁵
10/02/20	23.281	997.56	Various	886.68	...	110.88	Total of 6 transactions
	2 transactions for 10/02/20. Total proceeds and cost reported to the IRS.						
	5.729	245.51	10/01/20	252.67	1.41 W	-5.75	1 of 2 - Sale ²⁵
	2.296	98.39	10/01/20	100.00	1.61 W	0.00	2 of 2 - Sale ²⁵
10/02/20	8.026	343.90	Various	352.67	3.02 W	-5.75	Total of 2 transactions
	Security total:	4,895.10		5,356.55	3.02 W	-458.43	
XENETIC BIOSCIENCES, INC. COMM ON STOCK / CUSIP: 984015503 / Symbol:							
02/07/20	10.000	15.04	01/27/20	15.30	...	-0.26	Sale ²⁵
XPENG INC. AMERICAN DEPOSITARY SHARES, EACH REPRESENTING TWO CLASS A ORDINARY SHARES / CUSIP: 98422D105 / Symbol:							
	3 transactions for 11/24/20. Total proceeds and cost reported to the IRS.						
	0.002	0.15	11/20/20	0.13	...	0.02	1 of 3 - Sale ²⁵
	1.863	118.47	11/20/20	99.87	...	18.60	2 of 3 - Sale ²⁵
	1.389	88.31	11/24/20	100.00	...	-11.69	3 of 3 - Sale ²⁵
11/24/20	3.255	206.93	Various	200.00	...	6.93	Total of 3 transactions
FARMMI, INC. ORDINARY SHARES / CUSIP: G33277107 / Symbol:							
02/10/20	300.000	225.56	02/06/20	342.00	...	-116.44	Sale ²⁵
SPI ENERGY CO., LTD. ORDINARY SHARES / CUSIP: G8651P110 / Symbol:							
	3 transactions for 09/24/20. Total proceeds and cost reported to the IRS.						
	27.053	706.06	09/24/20	768.56	...	-62.50	1 of 3 - Sale ²⁵
	0.460	12.00	09/24/20	14.29	...	-2.29	2 of 3 - Sale ²⁵
	0.011	0.30	09/24/20	0.35	...	-0.05	3 of 3 - Sale ²⁵
09/24/20	27.524	718.36	Various	783.20	...	-64.84	Total of 3 transactions
	3 transactions for 09/24/20. Total proceeds and cost reported to the IRS.						
	6.476	169.02	09/24/20	186.12	0.53 W	-16.57	1 of 3 - Sale ²⁵
	0.471	12.30	09/24/20	13.55	1.22 W	-0.03	2 of 3 - Sale ²⁵
	0.011	0.30	09/24/20	0.33	0.03 W	0.00	3 of 3 - Sale ²⁵
09/24/20	6.959	181.62	Various	200.00	1.78 W	-16.60	Total of 3 transactions

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02/14/2021

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

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

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

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	7- Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
SPI ENERGY CO., LTD. ORDINARY SHARES / CUSIP: G8651P110 / Symbol: (cont'd)							
<i>2 transactions for 09/28/20. Total proceeds and cost reported to the IRS.</i>							
	7.476	71.32	09/24/20	212.40	...	-141.08	1 of 2 - Sale ²⁵
	0.199	1.90	09/24/20	6.18	...	-4.28	2 of 2 - Sale ²⁵
09/28/20	7.675	73.22	Various	218.58	...	-145.36	Total of 2 transactions
	Security total:	973.20		1,201.78	1.78 W	-226.80	
INTEC PHARMA LTD. ORDINARY SHA RES / CUSIP: M53644106 / Symbol:							
03/03/20	900.000	292.63	02/07/20	243.00	...	49.63	Sale ²⁵
<i>2 transactions for 03/11/20. Total proceeds and cost reported to the IRS.</i>							
	75.000	18.22	02/07/20	20.25	...	-2.03	1 of 2 - Sale ²⁵
	25.000	6.07	02/07/20	6.75	...	-0.68	2 of 2 - Sale ²⁵
03/11/20	100.000	24.29	Various	27.00	...	-2.71	Total of 2 transactions
	Security total:	316.92		270.00	...	46.92	
Totals :		136,600.68		159,594.78	12,520.56 W	-10,473.54	

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

Robinhood Securities LLC

Account 990636185

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
HEAT BIOLOGICS, INC. COMMON STOCK / CUSIP: 42237K409 / Symbol:							
12/17/20	0.758	4.59	03/26/20	3.29	...	1.30	Gain or loss
JUST ENERGY GROUP INC / CUSIP: 48213W408 / Symbol:							
10/05/20	0.727	5.17	09/24/20	14.12	...	-8.95	Gain or loss
Totals:		9.76		17.41	...	-7.65	

Robinhood Securities LLC

Account 990636185

Detail for Dividends and Distributions

2020

02/14/2021

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

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

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

Security description	CUSIP and/or symbol	State	Date	Amount	Transaction type	Notes
ADVANCED EMISSIONS SOLUTIONS, INC. COMMON STOCK	00770C101		03/10/20	0.25	Qualified dividend	
FIRST TRUST NASDAQ CLEAN EDGE GREEN ENERGY INDEX FUND	33733E500		12/31/20 12/31/20	0.33 0.23	Qualified dividend Nonqualified dividend	03 03
				0.56	Total Dividends & distributions	
INVESCO SOLAR ETF	46138G706		12/31/20 12/31/20	2.10 0.83	Nonqualified dividend Qualified dividend	03 03
				2.93	Total Dividends & distributions	
ISHARES GLOBAL CLEAN ENERGY ET F	464288224		12/18/20 01/06/21	8.52 4.99	Qualified dividend Qualified dividend	
				13.51	Total Dividends & distributions	
				17.25	Total Dividends & distributions	

Robinhood Securities LLC

Account 990636185

Other Receipts and Reconciliations

2020

02/14/2021

This section of your tax information statement contains the detail of the year-to-year adjustments between cash distributions and reportable income for Unit Investment Trusts, reflecting the fact that income is recognized at the time it is received by the trust, rather than when a distribution is made.

Also shown are distributions whose tax impact will be defined by other documentation. In the case of partnership distributions, you will receive Schedule K-1 (Form 1065) directly from the partnership(s). For deferred income, the Form 1099-DIV issued in the following year will characterize the amounts received.

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.

Security description	CUSIP and/or symbol	Date	Amount	Transaction type	Notes
HANNON ARMSTRONG SUSTAINABLE I NFRASTRUCTURE CAPITAL INC	41068X100	01/08/21	1.89	Deferred income payment	03,24
			1.89	Total Deferred income payment	

Robinhood Securities LLC

Account 990636185

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
		09/02/20	-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	
			-25.00	Total Margin interest paid	
			-25.00	Total Margin interest paid	

Robinhood Securities LLC

Account 990636185

Non-Reportable Actions

2020

02/14/2021

Security Description	CUSIP and/or symbol	Date	Quantity	Amount	Transaction type	Notes
SUNRUN INC. COMMON STOCK	86771W105	10/08/20	1.00	0.00	Merger	
VIVINT SOLAR, INC.	92854Q106	10/08/20	-3.42	0.00	Merger	

- 03 The tax character of the distribution has been allocated based on information provided by the security issuer.
- 24 Although distributions by mutual funds or REITs are ordinarily reported in the year of record date (2020), the payer will not determine the tax character of this distribution until the conclusion of 2021. It will be reported on your tax statement for that year.
- 25 Tax lot closed on a first in first out basis.
-

Common Instructions for Recipient

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Instructions for Recipient

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

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

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

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

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

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

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

1099-B Instructions for Recipient

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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