

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 148354244	Statement Date: 02/14/2021 Document ID: T29U 6R0 MCH6	2020
	Naveen Gujjari 3240 Bloomfield Lane, APT 808 Auburnhills, MI 48326 RECIPIENT'S TIN: XXX-XX-2370		

Summary Information

DIVIDENDS AND DISTRIBUTIONS	2020 1099-DIV*	OMB No. 1545-0110	MISCELLANEOUS INCOME	2020 1099-MISC*	OMB No. 1545-0115
1a- Total ordinary dividends (includes lines 1b, 5)	15.55		2- Royalties	0.00	
1b- Qualified dividends	15.17		3- Other income	0.00	
2a- Total capital gain distributions (includes lines 2b, 2c, 2d)	0.00		4- Federal income tax withheld	0.00	
2b- Unrecaptured Section 1250 gain	0.00		8- Substitute payments in lieu of dividends or interest	0.00	
2c- Section 1202 gain	0.00				
2d- Collectibles (28%) gain	0.00		SECTION 1256 CONTRACTS	2020 1099-B*	OMB No. 1545-0715
3- Nondividend distributions	2.72		8- Profit or (loss) realized in 2020 on closed contracts	0.00	
4- Federal income tax withheld	0.00		9- Unrealized profit or (loss) on open contracts-12/31/2019	0.00	
5- Section 199A dividends	0.00		10- Unrealized profit or (loss) on open contracts-12/31/2020	0.00	
6- Investment expenses	0.00		11- Aggregate profit or (loss) on contracts	0.00	
8- Foreign country or US possession: See detail	0.06				
7- Foreign tax paid:	0.00		<i>If applicable, proceeds from sale transactions appear summarized below and are detailed in subsequent sections of this document.</i>		
9- Cash liquidation distributions	0.00				
10- Noncash liquidation distributions	0.00				
11- Exempt-interest dividends (includes line 12)	0.00				
12- Specified private activity bond interest dividends (AMT)	0.00				

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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)	1,152,448.15	1,217,742.37	0.00	49,944.90	-15,349.32
Short	B (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Short	C (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
	Total Short-term	1,152,448.15	1,217,742.37	0.00	49,944.90	-15,349.32
Long	D (basis reported to the IRS)	0.13	3.07	0.00	0.00	-2.94
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	0.13	3.07	0.00	0.00	-2.94
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	1,152,448.28	1,217,745.44	0.00	49,944.90	-15,352.26

Withholding	Amount
Federal income tax withheld	0.00

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

Robinhood Securities LLC

Account 148354244

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)	4.79
2- Early withdrawal penalty	0.00
3- Interest on US Savings Bonds & Treasury obligations	0.00
4- Federal income tax withheld	0.00
5- Investment expenses	0.00
7- Foreign country or US possession: 6- Foreign tax paid:	0.00
8- Tax-exempt interest (includes line 9)	0.00
9- Specified private activity bond interest (AMT)	0.00
10- Market discount (covered lots)	0.00
11- Bond premium (covered lots)	0.00
12- Bond premium on Treasury obligations (covered lots)	0.00
13- Bond premium on tax-exempt bonds (categorized below)	0.00
<i>Tax-exempt obligations (covered lots)</i>	0.00
<i>Tax-exempt private activity obligations (AMT, covered lots)</i>	0.00
14- Tax-exempt and tax credit bond CUSIP number	See detail

The following amounts are not reported to the IRS. They are presented here for your reference when preparing your tax return(s).

Taxable accrued interest paid	0.00
Taxable accrued Treasury interest paid	0.00
Tax-exempt accrued interest paid	0.00
Tax-exempt accrued interest paid (AMT)	0.00
Taxable accrued nonqualified interest paid	0.00
Tax-exempt accrued nonqualified interest paid	0.00
Tax-exempt accrued nonqualified interest paid (AMT)	0.00
Nonqualified interest	0.00
Tax-exempt nonqualified interest	0.00
Tax-exempt nonqualified interest (AMT)	0.00
Interest shortfall on contingent payment debt	0.00
Bond premium- Non Treasury obligations (noncovered lots)	0.00
Bond premium- Treasury obligations (noncovered lots)	0.00
Bond premium- Tax-exempt obligations (noncovered lots)	0.00
Bond premium- Tax-exempt obligations (AMT, noncovered lots)	0.00
Market discount (noncovered lots)	0.00

STATE TAX WITHHELD

Use the details of the State Tax Withholding page(s) to determine the appropriate amounts for your income tax return(s). The amounts shown in this section are for your reference.

1099-DIV total withheld	0.00
1099-INT total withheld	0.00
1099-OID total withheld	0.00
1099-MISC total withheld	0.00
1099-B total withheld	0.00

ORIGINAL ISSUE DISCOUNT AND ADJUSTMENTS

Use bond-by-bond details from the Form 1099-OID page(s) to determine amounts of Original Issue Discount income for your income tax return(s). The amounts shown in this section are for your reference when preparing your income tax return(s).

Original issue discount for the year	0.00
Acquisition premium (covered lots)	0.00
Acquisition premium (noncovered lots)	0.00
Original issue discount on Treasury obligations	0.00
Acquisition premium, Treasury obligations (covered lots)	0.00
Acquisition premium, Treasury obligations (noncovered lots)	0.00
Tax-exempt OID	0.00
Tax-exempt OID (lots not reported)	0.00
Acquisition premium (covered)	0.00
Acquisition premium (lots not reported)	0.00
Tax-exempt OID on private activity bonds	0.00
Tax-exempt OID on private activity bonds (lots not reported)	0.00
Acquisition premium (AMT, covered)	0.00
Acquisition premium (AMT, lots not reported)	0.00
Market discount (all lots)	0.00
Early withdrawal penalty	0.00
Investment expenses	0.00

RECONCILIATIONS, FEES, EXPENSES AND EXPENDITURES

The amounts in this section are not reported to the IRS. They are presented here for your reference when preparing your income tax return(s).

Other Receipts & Reconciliations- Partnership distributions	0.00
Other Receipts & Reconciliations- Foreign tax paid- partnership	0.00
Other Receipts & Reconciliations- Return of principal	0.00
Other Receipts & Reconciliations- Deferred income payment	0.00
Other Receipts & Reconciliations- Deemed premium	0.00
Other Receipts & Reconciliations- Income accrual- UIT	0.00
Other Receipts & Reconciliations- Basis adjustments	0.00
Other Receipts & Reconciliations- Foreign tax pd beyond treaty	0.00
Fees & Expenses- Margin interest	20.00
Fees & Expenses- Dividends paid on short position	0.00
Fees & Expenses- Interest paid on short position	0.00
Fees & Expenses- Non reportable distribution expense	0.00
Fees & Expenses- Other expenses	0.00
Fees & Expenses- Severance tax	0.00
Fees & Expenses- Organizational expense	0.00
Fees & Expenses- Miscellaneous fees	0.00
Fees & Expenses- Tax-exempt investment expense	0.00
Foreign Exchange Gains & Losses- Foreign currency gain/loss	0.00

Robinhood Securities LLC

Account 148354244

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

02/14/2021

Sales transactions are organized into sections according to term (long, short or undetermined) and covered status (covered or noncovered). For tax lots whose term is undetermined, use your historical documents to establish the cost basis and date of purchase. The Box 12, basis is reported to the IRS indicator checkmark, is reflected as being checked in the title of the covered securities pages of Forms 1099-B, short-term and long-term. The title pages of the noncovered securities pages for Forms 1099-B reflect that Box 12 is not being checked, as these securities are not being reported to the IRS.

Several columns include both an amount and a qualifying notation to its right. Where proceeds are the result of an option exercise or assignment, there is indication of whether the amount is N (net of option premium) or G (Gross). Accrued market discount and wash sale loss disallowed appear in the same column, identified by the letters D or W, respectively. Where you are not permitted to recognize a loss, an indication of X (change in control or capital structure) or Z (other corporate action) is used. The change in control condition is reported to the IRS for covered lots. Neither the disallowance of loss due to a corporate action nor the amount of gain or loss is reported to the IRS in any instance.

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

Closing of written options is presented in a distinct manner in accordance with IRS regulation. For these transactions the Cost or other basis (column 1e) is always presented as \$0.00 and the Proceeds (column 1d) is the net of the amount received when the option was written and the cost to close the position.

FATCA filing requirement []

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

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

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

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
AAPL 10/16/2020 CALL \$117.50 / CUSIP: / Symbol: 10/16/20	2.000	559.97	10/13/20	1,490.00	...	-930.03	Option sale to close-call ²⁵
AAPL 11/13/2020 CALL \$125.00 / CUSIP: / Symbol: 11/12/20	3.000	17.98	11/09/20	150.00	...	-132.02	Option sale to close-call ²⁵
BCRX 12/18/2020 CALL \$6.00 / CUSIP: / Symbol: 12/09/20	10.000	1,359.94	12/04/20	850.00	...	509.94	Option sale to close-call ²⁵
BIDU 02/19/2021 CALL \$140.00 / CUSIP: / Symbol: 12/09/20	2.000	3,629.90	11/23/20	1,330.00	...	2,299.90	Option sale to close-call ²⁵
BLNK 12/18/2020 CALL \$25.00 / CUSIP: / Symbol: 11/24/20	1.000	569.97	11/23/20	710.00	...	-140.03	Option sale to close-call ²⁵

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Account 148354244

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
BYND 02/19/2021 CALL \$140.00 / CUSIP: / Symbol:							
3 transactions for 12/09/20. Total proceeds and cost reported to the IRS.							
	1.000	1,484.95	11/19/20	1,390.00	...	94.95	1 of 3 - Option sale to close-call ²⁵
	1.000	1,484.95	11/19/20	1,390.00	...	94.95	2 of 3 - Option sale to close-call ²⁵
	3.000	4,454.89	11/19/20	4,170.00	...	284.89	3 of 3 - Option sale to close-call ²⁵
12/09/20	5.000	7,424.79	Various	6,950.00	...	474.79	Total of 3 transactions
CLSK 12/18/2020 CALL \$7.50 / CUSIP: / Symbol:							
12/08/20	3.000	1,619.95	11/20/20	990.00	...	629.95	Option sale to close-call ²⁵
12/09/20	2.000	1,149.96	11/20/20	660.00	...	489.96	Option sale to close-call ²⁵
	Security total:	2,769.91		1,650.00	...	1,119.91	
CMCSA 12/31/2020 PUT \$43.00 / CUSIP: / Symbol:							
12/31/20	1.000	0.00	12/11/20	10.00	...	-10.00	Option expiration- long put
DKNG 10/02/2020 CALL \$42.00 / CUSIP: / Symbol:							
09/30/20	1.000	1,689.95	09/15/20	750.00	...	939.95	Option sale to close-call ²⁵
DKNG 10/23/2020 CALL \$45.00 / CUSIP: / Symbol:							
2 transactions for 10/23/20. Total proceeds and cost reported to the IRS.							
	1.000	0.00	10/13/20	650.00	...	-650.00	1 of 2 - Option expiration- long call
	1.000	0.00	10/13/20	650.00	...	-650.00	2 of 2 - Option expiration- long call
10/23/20	2.000	0.00	Various	1,300.00	...	-1,300.00	Total of 2 transactions
DKNG 11/06/2020 CALL \$35.00 / CUSIP: / Symbol:							
11/05/20	1.000	679.97	11/03/20	285.00	...	394.97	Option sale to close-call ²⁵
DKNG 11/27/2020 CALL \$40.00 / CUSIP: / Symbol:							
11/23/20	1.000	799.97	11/23/20	780.00	...	19.97	Option sale to close-call ²⁵
DKNG 12/11/2020 CALL \$44.00 / CUSIP: / Symbol:							
12/08/20	2.000	1,319.96	12/01/20	1,560.00	...	-240.04	Option sale to close-call ²⁵
12/09/20	1.000	739.97	12/01/20	780.00	...	-40.03	Option sale to close-call ²⁵
	Security total:	2,059.93		2,340.00	...	-280.07	
DKNG 12/18/2020 CALL \$35.00 / CUSIP: / Symbol:							
11/20/20	1.000	1,399.95	11/19/20	1,420.00	...	-20.05	Option sale to close-call ²⁵

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Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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

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

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1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
DKNG 12/24/2020 CALL \$48.00 / CUSIP: / Symbol:							
3 transactions for 12/09/20. Total proceeds and cost reported to the IRS.							
	1.000	409.99	12/07/20	320.00	...	89.99	1 of 3 - Option sale to close-call ²⁵
	1.000	409.99	12/07/20	320.00	...	89.99	2 of 3 - Option sale to close-call ²⁵
	2.000	819.97	12/09/20	780.00	...	39.97	3 of 3 - Option sale to close-call ²⁵
12/09/20	4.000	1,639.95	Various	1,420.00	...	219.95	Total of 3 transactions
FSR 02/19/2021 CALL \$12.50 / CUSIP: / Symbol:							
12/09/20	2.000	1,039.96	11/24/20	920.00	...	119.96	Option sale to close-call ²⁵
GE 03/19/2021 CALL \$7.00 / CUSIP: / Symbol:							
12/09/20	2.000	849.97	11/25/20	720.00	...	129.97	Option sale to close-call ²⁵
GME 01/15/2021 CALL \$13.00 / CUSIP: / Symbol:							
12/09/20	1.000	257.98	10/15/20	325.00	...	-67.02	Option sale to close-call ²⁵
GME 10/16/2020 CALL \$7.00 / CUSIP: / Symbol:							
2 transactions for 10/08/20. Total proceeds and cost reported to the IRS.							
	2.000	989.96	09/18/20	470.00	...	519.96	1 of 2 - Option sale to close-call ²⁵
	7.000	3,464.91	09/18/20	1,645.00	...	1,819.91	2 of 2 - Option sale to close-call ²⁵
10/08/20	9.000	4,454.87	Various	2,115.00	...	2,339.87	Total of 2 transactions
GME 11/20/2020 CALL \$13.00 / CUSIP: / Symbol:							
11/09/20	2.000	115.98	10/20/20	506.00	...	-390.02	Option sale to close-call ²⁵
GME 12/04/2020 CALL \$9.50 / CUSIP: / Symbol:							
11/27/20	1.000	669.97	11/23/20	440.00	...	229.97	Option sale to close-call ²⁵
11/30/20	1.000	799.97	11/23/20	440.00	...	359.97	Option sale to close-call ²⁵
	Security total:	1,469.94		880.00	...	589.94	
GWPH 02/19/2021 CALL \$175.00 / CUSIP: / Symbol:							
2 transactions for 12/09/20. Total proceeds and cost reported to the IRS.							
	8.000	679.97	12/09/20	800.00	...	-120.03	1 of 2 - Option sale to close-call ²⁵
	2.000	169.99	12/09/20	200.00	...	-30.01	2 of 2 - Option sale to close-call ²⁵
12/09/20	10.000	849.96	Various	1,000.00	...	-150.04	Total of 2 transactions

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Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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

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

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

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
IBM 10/16/2020 CALL \$125.00 / CUSIP: / Symbol:							
3 transactions for 10/16/20. Total proceeds and cost reported to the IRS.							
	3.000	314.98	10/09/20	1,515.00	...	-1,200.02	1 of 3 - Option sale to close-call ²⁵
	1.000	103.98	10/09/20	505.00	...	-401.02	2 of 3 - Option sale to close-call ²⁵
	1.000	103.98	10/09/20	505.00	...	-401.02	3 of 3 - Option sale to close-call ²⁵
10/16/20	5.000	522.94	Various	2,525.00	...	-2,002.06	Total of 3 transactions
INO 12/11/2020 CALL \$13.50 / CUSIP: / Symbol:							
4 transactions for 12/08/20. Total proceeds and cost reported to the IRS.							
	6.000	77.98	12/04/20	522.00	...	-444.02	1 of 4 - Option sale to close-call ²⁵
	2.000	25.99	12/04/20	174.00	...	-148.01	2 of 4 - Option sale to close-call ²⁵
	1.000	13.00	12/04/20	87.00	...	-74.00	3 of 4 - Option sale to close-call ²⁵
	1.000	13.00	12/04/20	87.00	...	-74.00	4 of 4 - Option sale to close-call ²⁵
12/08/20	10.000	129.97	Various	870.00	...	-740.03	Total of 4 transactions
JNJ 01/15/2021 CALL \$150.00 / CUSIP: / Symbol:							
12/01/20	4.000	1,651.95	11/23/20	884.00	...	767.95	Option sale to close-call ²⁵
KIRK 11/20/2020 CALL \$12.50 / CUSIP: / Symbol:							
11/12/20	3.000	44.98	10/16/20	630.00	...	-585.02	Option sale to close-call ²⁵
KIRK 12/18/2020 CALL \$12.50 / CUSIP: / Symbol:							
12/03/20	2.000	1,319.96	11/05/20	290.00	...	1,029.96	Option sale to close-call ²⁵
LCA 12/18/2020 CALL \$15.00 / CUSIP: / Symbol:							
12/09/20	1.000	869.97	11/25/20	380.00	...	489.97	Option sale to close-call ²⁵
LI 11/27/2020 CALL \$38.50 / CUSIP: / Symbol:							
3 transactions for 11/23/20. Total proceeds and cost reported to the IRS.							
	1.000	599.97	11/20/20	325.00	...	274.97	1 of 3 - Option sale to close-call ²⁵
	1.000	599.97	11/20/20	325.00	...	274.97	2 of 3 - Option sale to close-call ²⁵
	3.000	1,799.95	11/20/20	975.00	...	824.95	3 of 3 - Option sale to close-call ²⁵
11/23/20	5.000	2,999.89	Various	1,625.00	...	1,374.89	Total of 3 transactions
LI 12/18/2020 CALL \$22.50 / CUSIP: / Symbol:							
12/09/20	1.000	979.96	11/19/20	1,450.00	...	-470.04	Option sale to close-call ²⁵

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Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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

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

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MU 12/31/2020 PUT \$63.00 / CUSIP: / Symbol:							
12/31/20	10.000	0.00	12/09/20	350.00	...	-350.00	Option expiration- long put
NIO 10/09/2020 CALL \$20.50 / CUSIP: / Symbol:							
<i>2 transactions for 10/09/20. Total proceeds and cost reported to the IRS.</i>							
	7.000	790.97	10/01/20	1,295.00	...	-504.03	1 of 2 - Option sale to close-call ²⁵
	1.000	101.98	10/01/20	185.00	...	-83.02	2 of 2 - Option sale to close-call ²⁵
10/09/20	8.000	892.95	Various	1,480.00	...	-587.05	Total of 2 transactions
NIO 10/30/2020 CALL \$24.00 / CUSIP: / Symbol:							
10/14/20	1.000	309.98	10/14/20	284.00	...	25.98	Option sale to close-call ²⁵
NIO 11/27/2020 CALL \$39.00 / CUSIP: / Symbol:							
11/24/20	1.000	1,329.96	11/19/20	960.00	...	369.96	Option sale to close-call ²⁵
NKLA 11/27/2020 CALL \$32.00 / CUSIP: / Symbol:							
<i>3 transactions for 11/25/20. Total proceeds and cost reported to the IRS.</i>							
	1.000	50.98	11/24/20	610.00	...	-559.02	1 of 3 - Option sale to close-call ²⁵
	1.000	84.98	11/24/20	610.00	...	-525.02	2 of 3 - Option sale to close-call ²⁵
	1.000	84.98	11/24/20	610.00	...	-525.02	3 of 3 - Option sale to close-call ²⁵
11/25/20	3.000	220.94	Various	1,830.00	...	-1,609.06	Total of 3 transactions
NTAP 01/15/2021 PUT \$50.00 / CUSIP: / Symbol:							
<i>2 transactions for 11/19/20. Total proceeds and cost reported to the IRS.</i>							
	4.000	1,023.96	11/19/20	1,160.00	...	-136.04	1 of 2 - Option sale to close-put ²⁵
	1.000	255.98	11/19/20	290.00	...	-34.02	2 of 2 - Option sale to close-put ²⁵
11/19/20	5.000	1,279.94	Various	1,450.00	...	-170.06	Total of 2 transactions
NUGT 01/15/2021 CALL \$103.00 / CUSIP: / Symbol:							
12/09/20	1.000	59.98	12/07/20	120.00	...	-60.02	Option sale to close-call ²⁵
NUGT 01/15/2021 CALL \$55.00 / CUSIP: / Symbol:							
12/09/20	1.000	1,219.96	12/07/20	1,665.00	...	-445.04	Option sale to close-call ²⁵

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Robinhood Securities LLC

Account 148354244

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
PLTR 11/20/2020 CALL \$11.00 / CUSIP: / Symbol:							
2 transactions for 11/13/20. Total proceeds and cost reported to the IRS.							
	1.000	453.97	11/13/20	430.00	...	23.97	1 of 2 - Option sale to close-call ²⁵
	2.000	907.96	11/13/20	860.00	...	47.96	2 of 2 - Option sale to close-call ²⁵
11/13/20	3.000	1,361.93	Various	1,290.00	...	71.93	Total of 2 transactions
PLTR 11/20/2020 CALL \$11.50 / CUSIP: / Symbol:							
4 transactions for 11/17/20. Total proceeds and cost reported to the IRS.							
	1.000	699.97	11/13/20	400.00	...	299.97	1 of 4 - Option sale to close-call ²⁵
	1.000	699.98	11/13/20	400.00	...	299.98	2 of 4 - Option sale to close-call ²⁵
	1.000	689.97	11/17/20	680.00	...	9.97	3 of 4 - Option sale to close-call ²⁵
	1.000	689.98	11/17/20	680.00	...	9.98	4 of 4 - Option sale to close-call ²⁵
11/17/20	4.000	2,779.90	Various	2,160.00	...	619.90	Total of 4 transactions
PLTR 12/18/2020 CALL \$28.00 / CUSIP: / Symbol:							
12/09/20	1.000	158.98	11/27/20	700.00	...	-541.02	Option sale to close-call ²⁵
PLTR 12/24/2020 CALL \$23.00 / CUSIP: / Symbol:							
12/09/20	1.000	489.97	12/07/20	590.00	...	-100.03	Option sale to close-call ²⁵
PLTR 12/31/2020 CALL \$28.00 / CUSIP: / Symbol:							
2 transactions for 12/31/20. Total proceeds and cost reported to the IRS.							
	9.000	0.00	12/22/20	1,494.00	...	-1,494.00	1 of 2 - Option expiration- long call
	1.000	0.00	12/22/20	166.00	...	-166.00	2 of 2 - Option expiration- long call
12/31/20	10.000	0.00	Various	1,660.00	...	-1,660.00	Total of 2 transactions
PLUG 12/18/2020 CALL \$21.00 / CUSIP: / Symbol:							
3 transactions for 12/01/20. Total proceeds and cost reported to the IRS.							
	1.000	424.98	11/20/20	400.00	...	24.98	1 of 3 - Option sale to close-call ²⁵
	1.000	424.99	11/20/20	400.00	...	24.99	2 of 3 - Option sale to close-call ²⁵
	1.000	424.99	11/20/20	400.00	...	24.99	3 of 3 - Option sale to close-call ²⁵
12/01/20	3.000	1,274.96	Various	1,200.00	...	74.96	Total of 3 transactions

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(continued)

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PS 01/15/2021 CALL \$22.50 / CUSIP: / Symbol:							
2 transactions for 12/07/20. Total proceeds and cost reported to the IRS.							
	5.000	109.98	12/03/20	125.00	...	-15.02	1 of 2 - Option sale to close-call ²⁵
	5.000	109.98	12/03/20	125.00	...	-15.02	2 of 2 - Option sale to close-call ²⁵
12/07/20	10.000	219.96	Various	250.00	...	-30.04	Total of 2 transactions
PYPL 12/11/2020 PUT \$190.00 / CUSIP: / Symbol:							
11/05/20	1.000	454.97	11/05/20	565.00	...	-110.03	Option sale to close-put ²⁵
RIOT 03/19/2021 CALL \$4.00 / CUSIP: / Symbol:							
12/09/20	2.000	1,039.96	11/24/20	820.00	...	219.96	Option sale to close-call ²⁵
SPCE 10/23/2020 CALL \$23.50 / CUSIP: / Symbol:							
4 transactions for 10/20/20. Total proceeds and cost reported to the IRS.							
	1.000	107.99	10/19/20	83.00	...	24.99	1 of 4 - Option sale to close-call ²⁵
	1.000	107.99	10/19/20	83.00	...	24.99	2 of 4 - Option sale to close-call ²⁵
	1.000	107.99	10/19/20	83.00	...	24.99	3 of 4 - Option sale to close-call ²⁵
	2.000	215.99	10/19/20	166.00	...	49.99	4 of 4 - Option sale to close-call ²⁵
10/20/20	5.000	539.96	Various	415.00	...	124.96	Total of 4 transactions
SPCE 10/23/2020 CALL \$24.00 / CUSIP: / Symbol:							
3 transactions for 10/19/20. Total proceeds and cost reported to the IRS.							
	2.000	163.98	10/19/20	178.00	...	-14.02	1 of 3 - Option sale to close-call ²⁵
	1.000	81.98	10/19/20	89.00	...	-7.02	2 of 3 - Option sale to close-call ²⁵
	1.000	81.98	10/19/20	89.00	...	-7.02	3 of 3 - Option sale to close-call ²⁵
10/19/20	4.000	327.94	Various	356.00	...	-28.06	Total of 3 transactions
SPCE 12/18/2020 CALL \$20.00 / CUSIP: / Symbol:							
2 transactions for 12/07/20. Total proceeds and cost reported to the IRS.							
	1.000	1,209.96	11/19/20	470.00	...	739.96	1 of 2 - Option sale to close-call ²⁵
	1.000	1,209.97	11/19/20	470.00	...	739.97	2 of 2 - Option sale to close-call ²⁵
12/07/20	2.000	2,419.93	Various	940.00	...	1,479.93	Total of 2 transactions

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Account 148354244

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

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SRNE 01/15/2021 CALL \$5.00 / CUSIP: / Symbol:							
2 transactions for 11/23/20. Total proceeds and cost reported to the IRS.							
	1.000	271.98	11/20/20	310.00	...	-38.02	1 of 2 - Option sale to close-call ²⁵
	1.000	271.98	11/20/20	310.00	...	-38.02	2 of 2 - Option sale to close-call ²⁵
11/23/20	2.000	543.96	Various	620.00	...	-76.04	Total of 2 transactions
SRNE 06/19/2020 CALL \$7.00 / CUSIP: / Symbol:							
06/19/20	1.000	0.00	05/22/20	70.00	...	-70.00	Option expiration- long call
V 11/20/2020 PUT \$205.00 / CUSIP: / Symbol:							
11/20/20	4.000	55.98	11/12/20	580.00	...	-524.02	Option sale to close-put ²⁵
WDAY 01/15/2021 CALL \$220.00 / CUSIP: / Symbol:							
2 transactions for 11/25/20. Total proceeds and cost reported to the IRS.							
	1.000	834.98	11/23/20	752.00	...	82.98	1 of 2 - Option sale to close-call ²⁵
	1.000	834.97	11/23/20	730.00	...	104.97	2 of 2 - Option sale to close-call ²⁵
11/25/20	2.000	1,669.95	Various	1,482.00	...	187.95	Total of 2 transactions
WKHS 01/15/2021 CALL \$19.00 / CUSIP: / Symbol:							
12/09/20	1.000	429.98	11/23/20	989.00	...	-559.02	Option sale to close-call ²⁵
WKHS 11/27/2020 CALL \$20.50 / CUSIP: / Symbol:							
3 transactions for 11/20/20. Total proceeds and cost reported to the IRS.							
	1.000	379.99	11/20/20	460.02	...	-80.03	1 of 3 - Option sale to close-call ²⁵
	1.000	379.99	11/20/20	460.01	...	-80.02	2 of 3 - Option sale to close-call ²⁵
	1.000	379.98	11/20/20	420.00	...	-40.02	3 of 3 - Option sale to close-call ²⁵
11/20/20	3.000	1,139.96	Various	1,340.03	...	-200.07	Total of 3 transactions
2 transactions for 11/20/20. Total proceeds and cost reported to the IRS.							
	1.000	379.99	11/20/20	420.00	40.01 W	0.00	1 of 2 - Option sale to close-call ²⁵
	1.000	379.98	11/20/20	420.00	40.02 W	0.00	2 of 2 - Option sale to close-call ²⁵
11/20/20	2.000	759.97	Various	840.00	80.03 W	0.00	Total of 2 transactions
	Security total:	1,899.93		2,180.03	80.03 W	-200.07	

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(continued)

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XPEV 11/27/2020 CALL \$47.00 / CUSIP: / Symbol:							
2 transactions for 11/20/20. Total proceeds and cost reported to the IRS.							
	1.000	999.96	11/20/20	655.00	...	344.96	1 of 2 - Option sale to close-call ²⁵
	1.000	999.96	11/20/20	655.00	...	344.96	2 of 2 - Option sale to close-call ²⁵
11/20/20	2.000	1,999.92	Various	1,310.00	...	689.92	Total of 2 transactions
ARCA BIOPHARMA, INC. COMMON STOCK / CUSIP: 00211Y506 / Symbol:							
19 transactions for 05/28/20. Total proceeds and cost reported to the IRS.							
	1.000	21.30	05/28/20	21.03	...	0.27	1 of 19 - Sale ²⁵
	1.000	16.98	05/28/20	16.54	...	0.44	2 of 19 - Sale ²⁵
	1.000	21.30	05/28/20	20.28	...	1.02	3 of 19 - Sale ²⁵
	1.000	18.82	05/28/20	16.90	...	1.92	4 of 19 - Sale ²⁵
	1.000	18.70	05/28/20	15.72	...	2.98	5 of 19 - Sale ²⁵
	5.000	106.50	05/28/20	99.93	...	6.57	6 of 19 - Sale ²⁵
	19.000	230.09	05/28/20	223.25	...	6.84	7 of 19 - Sale ²⁵
	20.000	242.20	05/28/20	235.00	...	7.20	8 of 19 - Sale ²⁵
	8.000	170.39	05/28/20	160.63	...	9.76	9 of 19 - Sale ²⁵
	14.000	298.19	05/28/20	281.21	...	16.98	10 of 19 - Sale ²⁵
	100.000	1,092.99	05/28/20	1,073.00	...	19.99	11 of 19 - Sale ²⁵
	103.000	1,125.77	05/28/20	1,105.19	...	20.58	12 of 19 - Sale ²⁵
	38.000	809.38	05/28/20	785.09	...	24.29	13 of 19 - Sale ²⁵
	81.000	980.87	05/28/20	951.75	...	29.12	14 of 19 - Sale ²⁵
	100.000	1,212.96	05/28/20	1,175.00	...	37.96	15 of 19 - Sale ²⁵
	33.000	702.88	05/28/20	659.61	...	43.27	16 of 19 - Sale ²⁵
	37.000	788.07	05/28/20	725.43	...	62.64	17 of 19 - Sale ²⁵
	138.000	2,343.42	05/28/20	2,169.16	...	174.26	18 of 19 - Sale ²⁵
	138.000	2,580.52	05/28/20	2,332.20	...	248.32	19 of 19 - Sale ²⁵
05/28/20	839.000	12,781.33	Various	12,066.92	...	714.41	Total of 19 transactions
23 transactions for 05/28/20. Total proceeds and cost reported to the IRS.							
	39.000	667.97	05/28/20	724.76	53.88 W	-2.91	1 of 23 - Sale ²⁵
	1.000	10.93	05/28/20	11.75	0.82 W	0.00	2 of 23 - Sale ²⁵
	72.000	1,354.99	05/28/20	1,396.80	41.81 W	0.00	3 of 23 - Sale ²⁵
	20.000	376.40	05/28/20	388.00	11.60 W	0.00	4 of 23 - Sale ²⁵
	8.000	150.62	05/28/20	155.20	4.58 W	0.00	5 of 23 - Sale ²⁵
	38.000	715.43	05/28/20	759.27	43.84 W	0.00	6 of 23 - Sale ²⁵

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(continued)

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ARCA BIOPHARMA, INC. COMMON STOCK / CUSIP: 00211Y506 / Symbol: (cont'd)							
	1.000	19.20	05/28/20	19.98	0.78 W	0.00	7 of 23 - Sale ²⁵
	5.000	96.00	05/28/20	98.40	2.40 W	0.00	8 of 23 - Sale ²⁵
	33.000	633.58	05/28/20	649.46	15.88 W	0.00	9 of 23 - Sale ²⁵
	1.000	19.20	05/28/20	19.88	0.68 W	0.00	10 of 23 - Sale ²⁵
	5.000	96.00	05/28/20	97.90	1.90 W	0.00	11 of 23 - Sale ²⁵
	8.000	153.60	05/28/20	157.38	3.78 W	0.00	12 of 23 - Sale ²⁵
	14.000	268.79	05/28/20	275.52	6.73 W	0.00	13 of 23 - Sale ²⁵
	33.000	633.57	05/28/20	646.18	12.61 W	0.00	14 of 23 - Sale ²⁵
	38.000	729.58	05/28/20	769.64	40.06 W	0.00	15 of 23 - Sale ²⁵
	1.000	19.20	05/28/20	19.68	0.48 W	0.00	16 of 23 - Sale ²⁵
	1.000	17.13	05/28/20	19.58	2.45 W	0.00	17 of 23 - Sale ²⁵
	1.000	17.13	05/28/20	19.26	2.13 W	0.00	18 of 23 - Sale ²⁵
	5.000	85.64	05/28/20	94.82	9.18 W	0.00	19 of 23 - Sale ²⁵
	8.000	137.02	05/28/20	152.45	15.43 W	0.00	20 of 23 - Sale ²⁵
	14.000	239.79	05/28/20	266.90	27.11 W	0.00	21 of 23 - Sale ²⁵
	33.000	565.21	05/28/20	625.87	60.66 W	0.00	22 of 23 - Sale ²⁵
	38.000	650.85	05/28/20	746.24	95.39 W	0.00	23 of 23 - Sale ²⁵
05/28/20	417.000	7,657.83	Various	8,114.92	454.18 W	-2.91	Total of 23 transactions
	Security total:	20,439.16		20,181.84	454.18 W	711.50	
ADAPT IMMUNE THERAPEUTICS PLC AMERICAN DEPOSITARY SHARES / CUSIP: 00653A107 / Symbol:							
6 transactions for 05/29/20. Total proceeds and cost reported to the IRS.							
	100.000	1,029.96	05/29/20	1,183.08	...	-153.12	1 of 6 - Sale ²⁵
	99.000	1,019.67	05/29/20	1,172.24	...	-152.57	2 of 6 - Sale ²⁵
	59.000	607.68	05/29/20	698.61	...	-90.93	3 of 6 - Sale ²⁵
	11.000	113.30	05/29/20	124.85	...	-11.55	4 of 6 - Sale ²⁵
	64.000	659.17	05/29/20	668.80	...	-9.63	5 of 6 - Sale ²⁵
	1.000	10.30	05/29/20	11.56	...	-1.26	6 of 6 - Sale ²⁵
05/29/20	334.000	3,440.08	Various	3,859.14	...	-419.06	Total of 6 transactions
7 transactions for 05/29/20. Total proceeds and cost reported to the IRS.							
	100.000	1,180.96	05/29/20	1,206.00	25.04 W	0.00	1 of 7 - Sale ²⁵
	159.000	1,876.13	05/29/20	1,917.54	41.41 W	0.00	2 of 7 - Sale ²⁵
	1.000	11.85	05/29/20	12.06	0.21 W	0.00	3 of 7 - Sale ²⁵
	59.000	699.13	05/29/20	728.09	28.96 W	0.00	4 of 7 - Sale ²⁵

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ADAPTIMMUNE THERAPEUTICS PLC A MERICAN DEPOSITARY SHARES / CUSIP: 00653A107 / Symbol: (cont'd)							
	100.000	1,184.96	05/29/20	1,233.04	48.08 W	0.00	5 of 7 - Sale ²⁵
	99.000	1,173.11	05/29/20	1,221.70	48.59 W	0.00	6 of 7 - Sale ²⁵
	1.000	10.30	05/29/20	12.34	2.04 W	0.00	7 of 7 - Sale ²⁵
05/29/20	519.000	6,136.44	Various	6,330.77	194.33 W	0.00	Total of 7 transactions
06/01/20	1.000	9.60	05/29/20	12.49	...	-2.89	Sale ²⁵
	Security total:	9,586.12		10,202.40	194.33 W	-421.95	
ADVANCED MICRO DEVICES, INC. C OMMON STOCK / CUSIP: 007903107 / Symbol:							
05/13/20	10.000	533.28	02/14/20	551.00	...	-17.72	Sale ²⁵
ALTERYX, INC. / CUSIP: 02156B103 / Symbol:							
11/06/20	7.000	811.98	11/06/20	856.80	...	-44.82	Sale ²⁵
AMERI HOLDINGS, INC. COMMON ST OCK / CUSIP: 02362F302 / Symbol:							
3 transactions for 06/02/20. Total proceeds and cost reported to the IRS.							
	93.000	404.54	06/02/20	404.55	...	-0.01	1 of 3 - Sale ²⁵
	1.000	4.35	06/02/20	4.22	...	0.13	2 of 3 - Sale ²⁵
	94.000	469.99	06/02/20	396.68	...	73.31	3 of 3 - Sale ²⁵
06/02/20	188.000	878.88	Various	805.45	...	73.43	Total of 3 transactions
06/03/20	1.000	2.66	06/02/20	4.35	...	-1.69	Sale ²⁵
	Security total:	881.54		809.80	...	71.74	
APPIAN CORPORATION CLASS A COM MON STOCK / CUSIP: 03782L101 / Symbol:							
2 transactions for 05/13/20. Total proceeds and cost reported to the IRS.							
	2.000	94.80	02/11/20	108.00	...	-13.20	1 of 2 - Sale ²⁵
	1.000	47.40	02/20/20	59.50	...	-12.10	2 of 2 - Sale ²⁵
05/13/20	3.000	142.20	Various	167.50	...	-25.30	Total of 2 transactions
APPLE INC. COMMON STOCK / CUSIP: 037833100 / Symbol:							
03/02/20	5.000	1,399.96	01/31/20	1,550.00	150.04 W	0.00	Sale ²⁵
3 transactions for 03/27/20. Total proceeds and cost reported to the IRS.							
	5.000	1,269.97	03/12/20	1,425.04	...	-155.07	1 of 3 - Sale ²⁵
	5.000	1,269.97	03/20/20	1,175.00	...	94.97	2 of 3 - Sale ²⁵
	5.000	1,269.97	03/23/20	1,100.00	...	169.97	3 of 3 - Sale ²⁵
03/27/20	15.000	3,809.91	Various	3,700.04	...	109.87	Total of 3 transactions

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Robinhood Securities LLC

Account 148354244

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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APPLE INC. COMMON STOCK / CUSIP: 037833100 / Symbol: (cont'd)							
Security total:		5,209.87		5,250.04		150.04 W	109.87
APTEVO THERAPEUTICS INC. COMMO N STOCK / CUSIP: 03835L207 / Symbol:							
2 transactions for 06/25/20. Total proceeds and cost reported to the IRS.							
	158.000	1,474.08	06/25/20	1,640.04	...	-165.96	1 of 2 - Sale ²⁵
	2.000	18.66	06/25/20	20.76	...	-2.10	2 of 2 - Sale ²⁵
06/25/20	160.000	1,492.74	Various	1,660.80	...	-168.06	Total of 2 transactions
ARES MANAGEMENT CORPORATION CL ASS A COMMON STOCK / CUSIP: 03990B101 / Symbol:							
05/13/20	14.000	471.94	02/20/20	562.61	...	-90.67	Sale ²⁵
CVS HEALTH CORPORATION / CUSIP: 126650100 / Symbol:							
11/06/20	12.000	775.23	11/06/20	772.63	...	2.60	Sale ²⁵
CEMTREX INC. COMMON STOCK / CUSIP: 15130G600 / Symbol:							
8 transactions for 06/01/20. Total proceeds and cost reported to the IRS.							
	1.000	3.05	06/01/20	3.01	...	0.04	1 of 8 - Sale ²⁵
	1.000	3.05	06/01/20	2.74	...	0.31	2 of 8 - Sale ²⁵
	7.000	21.35	06/01/20	19.81	...	1.54	3 of 8 - Sale ²⁵
	93.000	283.63	06/01/20	263.20	...	20.43	4 of 8 - Sale ²⁵
	100.000	304.98	06/01/20	283.01	...	21.97	5 of 8 - Sale ²⁵
	199.000	606.91	06/01/20	563.19	...	43.72	6 of 8 - Sale ²⁵
	329.000	1,003.38	06/01/20	931.10	...	72.28	7 of 8 - Sale ²⁵
	400.000	1,219.92	06/01/20	1,132.03	...	87.89	8 of 8 - Sale ²⁵
06/01/20	1,130.000	3,446.27	Various	3,198.09	...	248.18	Total of 8 transactions
5 transactions for 06/01/20. Total proceeds and cost reported to the IRS.							
	293.000	829.16	06/01/20	855.56	26.40 W	0.00	1 of 5 - Sale ²⁵
	100.000	282.99	06/01/20	292.00	9.01 W	0.00	2 of 5 - Sale ²⁵
	736.000	2,082.82	06/01/20	2,149.12	66.30 W	0.00	3 of 5 - Sale ²⁵
	1.000	2.72	06/01/20	2.74	0.02 W	0.00	4 of 5 - Sale ²⁵
	1,129.000	3,070.68	06/01/20	3,116.04	45.36 W	0.00	5 of 5 - Sale ²⁵
06/01/20	2,259.000	6,268.37	Various	6,415.46	147.09 W	0.00	Total of 5 transactions

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Account 148354244

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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CEMTREX INC. COMMON STOCK / CUSIP: 15130G600 / Symbol: (cont'd)							
<i>8 transactions for 06/03/20. Total proceeds and cost reported to the IRS.</i>							
	300.000	560.95	06/01/20	846.06	...	-285.11	1 of 8 - Sale ²⁵
	300.000	560.95	06/01/20	846.05	...	-285.10	2 of 8 - Sale ²⁵
	266.000	497.38	06/01/20	750.17	...	-252.79	3 of 8 - Sale ²⁵
	228.000	426.32	06/01/20	643.00	...	-216.68	4 of 8 - Sale ²⁵
	20.000	37.40	06/01/20	56.40	...	-19.00	5 of 8 - Sale ²⁵
	9.000	16.83	06/01/20	25.38	...	-8.55	6 of 8 - Sale ²⁵
	5.000	9.35	06/01/20	14.10	...	-4.75	7 of 8 - Sale ²⁵
	1.000	1.87	06/01/20	3.69	...	-1.82	8 of 8 - Sale ²⁵
06/03/20	1,129.000	2,111.05	Various	3,184.85	...	-1,073.80	Total of 8 transactions
06/03/20	1.000	1.87	06/01/20	2.78	0.91 W	0.00	Sale ²⁵
06/04/20	1.000	1.83	06/01/20	2.82	...	-0.99	Sale ²⁵
	Security total:	11,829.39		12,804.00	148.00 W	-826.61	
CHEMBIO DIAGNOSTICS, INC. COMM ON STOCK / CUSIP: 163572209 / Symbol:							
06/25/20	1,500.000	5,134.95	06/18/20	5,640.00	...	-505.05	Sale ²⁵
06/26/20	499.000	1,657.98	06/18/20	1,876.24	...	-218.26	Sale ²⁵
11/03/20	1.000	4.47	06/18/20	3.76	...	0.71	Sale ²⁵
	Security total:	6,797.40		7,520.00	...	-722.60	
CINEDIGM CORP., CLASS A COMMON STOCK / CUSIP: 172406209 / Symbol:							
<i>7 transactions for 06/04/20. Total proceeds and cost reported to the IRS.</i>							
	189.342	725.14	06/04/20	944.81	...	-219.67	1 of 7 - Sale ²⁵
	9.313	33.99	06/04/20	43.68	...	-9.69	2 of 7 - Sale ²⁵
	0.342	1.31	06/04/20	1.62	...	-0.31	3 of 7 - Sale ²⁵
	0.658	2.52	06/04/20	2.63	...	-0.11	4 of 7 - Sale ²⁵
	24.000	97.20	06/04/20	88.80	...	8.40	5 of 7 - Sale ²⁵
	85.000	344.24	06/04/20	314.50	...	29.74	6 of 7 - Sale ²⁵
	153.000	619.61	06/04/20	566.10	...	53.51	7 of 7 - Sale ²⁵
06/04/20	461.655	1,824.01	Various	1,962.14	...	-138.13	Total of 7 transactions
<i>2 transactions for 06/04/20. Total proceeds and cost reported to the IRS.</i>							
	196.687	717.87	06/04/20	922.42	196.91 W	-7.64	1 of 2 - Sale ²⁵
	1.000	3.65	06/04/20	3.70	0.05 W	0.00	2 of 2 - Sale ²⁵
06/04/20	197.687	721.52	Various	926.12	196.96 W	-7.64	Total of 2 transactions

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Robinhood Securities LLC

Account 148354244

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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CINEDIGM CORP., CLASS A COMMON STOCK / CUSIP: 172406209 / Symbol: (cont'd)							
Security total:		2,545.53		2,888.26	196.96 W	-145.77	
CO-DIAGNOSTICS, INC. COMMON STOCK / CUSIP: 189763105 / Symbol:							
3 transactions for 03/12/20. Total proceeds and cost reported to the IRS.							
	5.000	61.50	03/12/20	60.00	...	1.50	1 of 3 - Sale ²⁵
	40.000	492.00	03/12/20	480.00	...	12.00	2 of 3 - Sale ²⁵
	50.000	615.48	03/12/20	600.00	...	15.48	3 of 3 - Sale ²⁵
03/12/20	95.000	1,168.98	Various	1,140.00	...	28.98	Total of 3 transactions
2 transactions for 03/27/20. Total proceeds and cost reported to the IRS.							
	100.000	919.96	03/23/20	925.00	...	-5.04	1 of 2 - Sale ²⁵
	50.000	460.00	03/23/20	462.50	...	-2.50	2 of 2 - Sale ²⁵
03/27/20	150.000	1,379.96	Various	1,387.50	...	-7.54	Total of 2 transactions
2 transactions for 05/28/20. Total proceeds and cost reported to the IRS.							
	135.000	2,422.50	05/14/20	2,430.00	...	-7.50	1 of 2 - Sale ²⁵
	15.000	269.17	05/14/20	270.00	...	-0.83	2 of 2 - Sale ²⁵
05/28/20	150.000	2,691.67	Various	2,700.00	...	-8.33	Total of 2 transactions
Security total:		5,240.61		5,227.50	...	13.11	
CREDIT SUISSE AG NASSAU BRH VE LOCITYSHARES DAILY 2X VIX SHOR T TERM ETN / CUSIP: 22542D258 / Symbol:							
2 transactions for 06/11/20. Total proceeds and cost reported to the IRS.							
	1.000	189.10	06/11/20	202.88	13.78 W	0.00	1 of 2 - Sale ²⁵
	49.000	9,265.69	06/11/20	10,342.91	1,077.22 W	0.00	2 of 2 - Sale ²⁵
06/11/20	50.000	9,454.79	Various	10,545.79	1,091.00 W	0.00	Total of 2 transactions
15 transactions for 06/12/20. Total proceeds and cost reported to the IRS.							
	12.000	2,423.95	06/12/20	2,419.80	...	4.15	1 of 15 - Sale ²⁵
	23.000	4,645.89	06/12/20	4,638.16	...	7.73	2 of 15 - Sale ²⁵
	1.000	193.01	06/12/20	181.63	...	11.38	3 of 15 - Sale ²⁵
	71.000	14,341.67	06/12/20	14,317.79	...	23.88	4 of 15 - Sale ²⁵
	10.000	2,153.05	06/12/20	2,092.52	...	60.53	5 of 15 - Sale ²⁵
	8.000	1,722.44	06/12/20	1,657.00	...	65.44	6 of 15 - Sale ²⁵
	11.000	2,368.36	06/12/20	2,301.77	...	66.59	7 of 15 - Sale ²⁵
	50.000	9,199.79	06/12/20	9,081.50	...	118.29	8 of 15 - Sale ²⁵
	20.000	4,279.90	06/12/20	4,139.81	...	140.09	9 of 15 - Sale ²⁵

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Account 148354244

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2020 1099-B* OMB No. 1545-0715

(continued)

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CREDIT SUISSE AG NASSAU BRH VE LOCITYSHARES DAILY 2X VIX SHOR T TERM ETN / CUSIP: 22542D258 / Symbol: (cont'd)							
	28.000	6,028.54	06/12/20	5,859.30	...	169.24	10 of 15 - Sale ²⁵
	74.000	13,615.68	06/12/20	13,440.61	...	175.07	11 of 15 - Sale ²⁵
	31.000	6,633.85	06/12/20	6,416.70	...	217.15	12 of 15 - Sale ²⁵
	59.000	12,625.71	06/12/20	12,212.42	...	413.29	13 of 15 - Sale ²⁵
	106.000	22,822.33	06/12/20	21,780.88	...	1,041.45	14 of 15 - Sale ²⁵
	130.000	22,904.18	06/12/20	21,799.69	...	1,104.49	15 of 15 - Sale ²⁵
06/12/20	634.000	125,958.35	Various	122,339.58	...	3,618.77	Total of 15 transactions
	19 transactions for 06/12/20. Total proceeds and cost reported to the IRS.						
	1.000	176.19	06/11/20	224.86	48.67 W	0.00	1 of 19 - Sale ²⁵
	49.000	8,633.12	06/12/20	9,294.02	660.90 W	0.00	2 of 19 - Sale ²⁵
	1.000	184.00	06/12/20	216.36	32.36 W	0.00	3 of 19 - Sale ²⁵
	49.000	9,015.79	06/12/20	9,560.76	544.97 W	0.00	4 of 19 - Sale ²⁵
	1.000	184.00	06/12/20	213.99	29.99 W	0.00	5 of 19 - Sale ²⁵
	1.000	193.01	06/12/20	224.99	31.98 W	0.00	6 of 19 - Sale ²⁵
	49.000	9,457.47	06/12/20	10,099.97	642.50 W	0.00	7 of 19 - Sale ²⁵
	20.000	3,860.19	06/12/20	3,900.00	39.81 W	0.00	8 of 19 - Sale ²⁵
	99.000	19,107.97	06/12/20	19,305.00	197.03 W	0.00	9 of 19 - Sale ²⁵
	1.000	214.00	06/12/20	226.98	12.98 W	0.00	10 of 19 - Sale ²⁵
	49.000	10,485.76	06/12/20	10,687.50	201.74 W	0.00	11 of 19 - Sale ²⁵
	1.000	192.00	06/12/20	206.99	14.99 W	0.00	12 of 19 - Sale ²⁵
	1.000	202.00	06/12/20	214.63	12.63 W	0.00	13 of 19 - Sale ²⁵
	8.000	1,615.96	06/12/20	1,629.12	13.16 W	0.00	14 of 19 - Sale ²⁵
	21.000	4,241.90	06/12/20	4,321.11	79.21 W	0.00	15 of 19 - Sale ²⁵
	1.000	202.00	06/12/20	216.65	14.65 W	0.00	16 of 19 - Sale ²⁵
	28.000	5,655.87	06/12/20	5,761.73	105.86 W	0.00	17 of 19 - Sale ²⁵
	1.000	215.31	06/12/20	218.11	2.80 W	0.00	18 of 19 - Sale ²⁵
	1.000	215.31	06/12/20	220.13	4.82 W	0.00	19 of 19 - Sale ²⁵
06/12/20	382.000	74,051.85	Various	76,742.90	2,691.05 W	0.00	Total of 19 transactions
	2 transactions for 06/15/20. Total proceeds and cost reported to the IRS.						
	1.000	200.00	06/12/20	198.15	...	1.85	1 of 2 - Sale ²⁵
	16.000	3,199.92	06/12/20	3,125.67	...	74.25	2 of 2 - Sale ²⁵
06/15/20	17.000	3,399.92	Various	3,323.82	...	76.10	Total of 2 transactions

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(continued)

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CREDIT SUISSE AG NASSAU BRH VE LOCITYSHARES DAILY 2X VIX SHOR T TERM ETN / CUSIP: 22542D258 / Symbol: (cont'd)							
30 transactions for 06/15/20. Total proceeds and cost reported to the IRS.							
	1.000	200.00	06/12/20	203.80	3.80 W	0.00	1 of 30 - Sale ²⁵
	1.000	200.00	06/12/20	205.82	5.82 W	0.00	2 of 30 - Sale ²⁵
	47.000	9,399.78	06/12/20	9,447.00	47.22 W	0.00	3 of 30 - Sale ²⁵
	51.000	10,199.76	06/12/20	10,251.00	51.24 W	0.00	4 of 30 - Sale ²⁵
	65.000	12,999.70	06/12/20	13,065.00	65.30 W	0.00	5 of 30 - Sale ²⁵
	1.000	200.00	06/12/20	200.17	0.17 W	0.00	6 of 30 - Sale ²⁵
	1.000	169.81	06/15/20	180.17	10.36 W	0.00	7 of 30 - Sale ²⁵
	31.000	5,263.98	06/15/20	5,611.15	347.17 W	0.00	8 of 30 - Sale ²⁵
	8.000	1,358.45	06/15/20	1,448.04	89.59 W	0.00	9 of 30 - Sale ²⁵
	43.000	7,301.66	06/15/20	7,783.20	481.54 W	0.00	10 of 30 - Sale ²⁵
	57.000	9,678.95	06/15/20	10,317.26	638.31 W	0.00	11 of 30 - Sale ²⁵
	8.000	1,358.38	06/15/20	1,448.04	89.66 W	0.00	12 of 30 - Sale ²⁵
	52.000	8,829.44	06/15/20	9,360.00	530.56 W	0.00	13 of 30 - Sale ²⁵
	1.000	160.27	06/15/20	173.36	13.09 W	0.00	14 of 30 - Sale ²⁵
	8.000	1,282.13	06/15/20	1,393.59	111.46 W	0.00	15 of 30 - Sale ²⁵
	17.000	2,724.52	06/15/20	2,961.37	236.85 W	0.00	16 of 30 - Sale ²⁵
	31.000	4,968.23	06/15/20	5,400.17	431.94 W	0.00	17 of 30 - Sale ²⁵
	43.000	6,891.42	06/15/20	7,490.54	599.12 W	0.00	18 of 30 - Sale ²⁵
	8.000	1,282.13	06/15/20	1,393.66	111.53 W	0.00	19 of 30 - Sale ²⁵
	40.000	6,410.62	06/15/20	6,967.94	557.32 W	0.00	20 of 30 - Sale ²⁵
	52.000	8,333.81	06/15/20	9,006.56	672.75 W	0.00	21 of 30 - Sale ²⁵
	1.000	165.00	06/15/20	177.09	12.09 W	0.00	22 of 30 - Sale ²⁵
	3.000	494.99	06/15/20	533.80	38.81 W	0.00	23 of 30 - Sale ²⁵
	8.000	1,319.97	06/15/20	1,423.46	103.49 W	0.00	24 of 30 - Sale ²⁵
	8.000	1,319.97	06/15/20	1,423.53	103.56 W	0.00	25 of 30 - Sale ²⁵
	17.000	2,804.94	06/15/20	3,024.85	219.91 W	0.00	26 of 30 - Sale ²⁵
	28.000	4,619.89	06/15/20	4,982.14	362.25 W	0.00	27 of 30 - Sale ²⁵
	40.000	6,599.85	06/15/20	7,117.32	517.47 W	0.00	28 of 30 - Sale ²⁵
	43.000	7,094.84	06/15/20	7,651.12	556.28 W	0.00	29 of 30 - Sale ²⁵
	52.000	8,579.80	06/15/20	9,200.75	620.95 W	0.00	30 of 30 - Sale ²⁵
06/15/20	766.000	132,212.29	Various	139,841.90	7,629.61 W	0.00	Total of 30 transactions

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Robinhood Securities LLC

Account 148354244

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
CREDIT SUISSE AG NASSAU BRH VE LOCITYSHARES DAILY 2X VIX SHOR T TERM ETN / CUSIP: 22542D258 / Symbol: (cont'd)							
8 transactions for 06/16/20. Total proceeds and cost reported to the IRS.							
	1.000	145.77	06/16/20	153.82	8.05 W	0.00	1 of 8 - Sale ²⁵
	3.000	437.30	06/16/20	464.00	26.70 W	0.00	2 of 8 - Sale ²⁵
	3.000	437.30	06/16/20	464.00	26.70 W	0.00	3 of 8 - Sale ²⁵
	8.000	1,166.13	06/16/20	1,237.49	71.36 W	0.00	4 of 8 - Sale ²⁵
	25.000	3,644.16	06/16/20	3,867.18	223.02 W	0.00	5 of 8 - Sale ²⁵
	17.000	2,478.03	06/16/20	2,629.66	151.63 W	0.00	6 of 8 - Sale ²⁵
	43.000	6,267.97	06/16/20	6,651.53	383.56 W	0.00	7 of 8 - Sale ²⁵
	20.000	2,915.33	06/16/20	3,093.74	178.41 W	0.00	8 of 8 - Sale ²⁵
06/16/20	120.000	17,491.99	Various	18,561.42	1,069.43 W	0.00	Total of 8 transactions
10 transactions for 06/17/20. Total proceeds and cost reported to the IRS.							
	33.000	5,085.79	06/17/20	5,476.94	...	-391.15	1 of 10 - Sale ²⁵
	20.000	3,082.30	06/17/20	3,458.62	...	-376.32	2 of 10 - Sale ²⁵
	20.000	3,082.30	06/17/20	3,319.37	...	-237.07	3 of 10 - Sale ²⁵
	12.000	1,849.38	06/17/20	2,063.23	...	-213.85	4 of 10 - Sale ²⁵
	17.000	2,619.95	06/17/20	2,821.44	...	-201.49	5 of 10 - Sale ²⁵
	13.000	2,003.49	06/17/20	2,195.90	...	-192.41	6 of 10 - Sale ²⁵
	8.000	1,232.92	06/17/20	1,383.51	...	-150.59	7 of 10 - Sale ²⁵
	3.000	462.34	06/17/20	506.68	...	-44.34	8 of 10 - Sale ²⁵
	3.000	462.35	06/17/20	506.68	...	-44.33	9 of 10 - Sale ²⁵
	1.000	154.11	06/17/20	168.05	...	-13.94	10 of 10 - Sale ²⁵
06/17/20	130.000	20,034.93	Various	21,900.42	...	-1,865.49	Total of 10 transactions
10 transactions for 06/17/20. Total proceeds and cost reported to the IRS.							
	10.000	1,560.54	06/17/20	1,679.20	83.06 W	-35.60	1 of 10 - Sale ²⁵
	1.000	156.05	06/17/20	167.05	11.00 W	0.00	2 of 10 - Sale ²⁵
	3.000	468.16	06/17/20	503.70	35.54 W	0.00	3 of 10 - Sale ²⁵
	3.000	468.16	06/17/20	503.70	35.54 W	0.00	4 of 10 - Sale ²⁵
	8.000	1,248.43	06/17/20	1,375.56	127.13 W	0.00	5 of 10 - Sale ²⁵
	13.000	2,028.70	06/17/20	2,182.97	154.27 W	0.00	6 of 10 - Sale ²⁵
	20.000	3,121.07	06/17/20	3,438.73	317.66 W	0.00	7 of 10 - Sale ²⁵
	52.000	8,114.79	06/17/20	8,888.95	774.16 W	0.00	8 of 10 - Sale ²⁵
	8.000	1,248.43	06/17/20	1,343.36	94.93 W	0.00	9 of 10 - Sale ²⁵

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Account 148354244

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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CREDIT SUISSE AG NASSAU BRH VE LOCITYSHARES DAILY 2X VIX SHOR T TERM ETN / CUSIP: 22542D258 / Symbol: (cont'd)							
06/17/20	12.000	1,872.64	06/17/20	2,015.05	142.41 W	0.00	10 of 10 - Sale ²⁵
06/17/20	130.000	20,286.97	Various	22,098.27	1,775.70 W	-35.60	Total of 10 transactions
<i>7 transactions for 06/23/20. Total proceeds and cost reported to the IRS.</i>							
	23.000	2,912.42	06/23/20	3,240.42	...	-328.00	1 of 7 - Sale ²⁵
	10.000	1,266.27	06/23/20	1,411.28	...	-145.01	2 of 7 - Sale ²⁵
	8.000	1,013.02	06/23/20	1,132.53	...	-119.51	3 of 7 - Sale ²⁵
	7.000	886.39	06/23/20	990.96	...	-104.57	4 of 7 - Sale ²⁵
	7.000	886.39	06/23/20	986.21	...	-99.82	5 of 7 - Sale ²⁵
	6.000	759.76	06/23/20	849.40	...	-89.64	6 of 7 - Sale ²⁵
	6.000	759.76	06/23/20	827.21	...	-67.45	7 of 7 - Sale ²⁵
06/23/20	67.000	8,484.01	Various	9,438.01	...	-954.00	Total of 7 transactions
	Security total:	411,375.10		424,792.11	14,256.79 W	839.78	
CROWN CASTLE INTL. CORP. / CUSIP: 22822V101 / Symbol:							
03/06/20	5.000	805.10	02/12/20	797.50	...	7.60	Sale ²⁵
03/27/20	5.000	694.98	03/12/20	725.00	...	-30.02	Sale ²⁵
03/30/20	3.000	438.00	03/12/20	435.00	...	3.00	Sale ²⁵
	Security total:	1,938.08		1,957.50	...	-19.42	
DIGITAL ALLY, INC. COMMON STOC K / CUSIP: 25382P208 / Symbol:							
<i>12 transactions for 06/01/20. Total proceeds and cost reported to the IRS.</i>							
	701.000	1,654.23	06/01/20	1,717.63	...	-63.40	1 of 12 - Sale ²⁵
	300.000	707.94	06/01/20	735.07	...	-27.13	2 of 12 - Sale ²⁵
	185.000	436.57	06/01/20	453.30	...	-16.73	3 of 12 - Sale ²⁵
	100.000	235.98	06/01/20	244.52	...	-8.54	4 of 12 - Sale ²⁵
	50.000	117.99	06/01/20	122.26	...	-4.27	5 of 12 - Sale ²⁵
	20.000	47.20	06/01/20	48.90	...	-1.70	6 of 12 - Sale ²⁵
	18.000	42.48	06/01/20	44.01	...	-1.53	7 of 12 - Sale ²⁵
	12.000	28.32	06/01/20	29.40	...	-1.08	8 of 12 - Sale ²⁵
	11.000	25.96	06/01/20	26.89	...	-0.93	9 of 12 - Sale ²⁵
	1.000	1.88	06/01/20	2.45	...	-0.57	10 of 12 - Sale ²⁵
	1.000	2.36	06/01/20	2.43	...	-0.07	11 of 12 - Sale ²⁵
	1.000	2.36	06/01/20	2.42	...	-0.06	12 of 12 - Sale ²⁵
06/01/20	1,400.000	3,303.27	Various	3,429.28	...	-126.01	Total of 12 transactions

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Account 148354244

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2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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DIGITAL ALLY, INC. COMMON STOC K / CUSIP: 25382P208 / Symbol: (cont'd)							
<i>9 transactions for 06/01/20. Total proceeds and cost reported to the IRS.</i>							
	11.000	25.85	06/01/20	26.40	0.55 W	0.00	1 of 9 - Sale ²⁵
	200.000	469.98	06/01/20	480.00	10.02 W	0.00	2 of 9 - Sale ²⁵
	1,188.000	2,791.59	06/01/20	2,851.20	59.61 W	0.00	3 of 9 - Sale ²⁵
	1.000	2.30	06/01/20	2.40	0.10 W	0.00	4 of 9 - Sale ²⁵
	11.000	25.30	06/01/20	26.73	1.43 W	0.00	5 of 9 - Sale ²⁵
	20.000	46.00	06/01/20	48.60	2.60 W	0.00	6 of 9 - Sale ²⁵
	50.000	115.00	06/01/20	121.51	6.51 W	0.00	7 of 9 - Sale ²⁵
	130.000	298.99	06/01/20	315.91	16.92 W	0.00	8 of 9 - Sale ²⁵
	1,187.000	2,730.01	06/01/20	2,884.62	154.61 W	0.00	9 of 9 - Sale ²⁵
06/01/20	2,798.000	6,505.02	Various	6,757.37	252.35 W	0.00	Total of 9 transactions
	Security total:	9,808.29		10,186.65	252.35 W	-126.01	
DRAFTKINGS INC. CLASS A COMMON STOCK / CUSIP: 26142R104 / Symbol:							
11/10/20	50.000	1,959.95	11/04/20	1,982.50	9.02 W	-13.53	Sale ²⁵
12/09/20	20.000	1,008.10	11/13/20	871.80	...	136.30	Sale ²⁵
	Security total:	2,968.05		2,854.30	9.02 W	122.77	
EASTMAN KODAK COMPANY / CUSIP: 277461406 / Symbol:							
09/16/20	100.000	986.96	09/16/20	986.85	...	0.11	Sale ²⁵
EKSO BIONICS HOLDINGS, INC. CO MMON STOCK / CUSIP: 282644301 / Symbol:							
<i>2 transactions for 06/26/20. Total proceeds and cost reported to the IRS.</i>							
	70.000	653.77	06/25/20	588.70	...	65.07	1 of 2 - Sale ²⁵
	100.000	933.96	06/25/20	841.00	...	92.96	2 of 2 - Sale ²⁵
06/26/20	170.000	1,587.73	Various	1,429.70	...	158.03	Total of 2 transactions
ENPHASE ENERGY, INC. COMMON ST OCK / CUSIP: 29355A107 / Symbol:							
02/10/20	3.000	113.52	02/07/20	114.00	0.48 W	0.00	Sale ²⁵
<i>2 transactions for 02/18/20. Total proceeds and cost reported to the IRS.</i>							
	3.000	119.25	02/13/20	118.98	...	0.27	1 of 2 - Sale ²⁵
	12.000	476.98	02/13/20	474.00	...	2.98	2 of 2 - Sale ²⁵
02/18/20	15.000	596.23	Various	592.98	...	3.25	Total of 2 transactions
	Security total:	709.75		706.98	0.48 W	3.25	

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Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

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FACEBOOK, INC. CLASS A COMMON STOCK / CUSIP: 30303M102 / Symbol:							
05/13/20	5.000	1,043.82	01/31/20	1,043.95	...	-0.13	Sale ²⁵
FIRST TRUST NASDAQ CLEAN EDGE GREEN ENERGY INDEX FUND / CUSIP: 33733E500 / Symbol:							
11/13/20	36.000	1,993.99	11/09/20	2,016.72	...	-22.73	Sale ²⁵
FISKER INC. / CUSIP: 33813J106 / Symbol:							
12/10/20	40.000	603.78	11/12/20	578.40	...	25.38	Sale ²⁵
FORESIGHT AUTONOMOUS HOLDINGS LTD. AMERICAN DEPOSITARY SHARE S / CUSIP: 345523104 / Symbol:							
5 transactions for 06/05/20. Total proceeds and cost reported to the IRS.							
	247.000	414.92	06/05/20	489.06	...	-74.14	1 of 5 - Sale ²⁵
	100.000	167.98	06/05/20	198.00	...	-30.02	2 of 5 - Sale ²⁵
	100.000	167.98	06/05/20	198.00	...	-30.02	3 of 5 - Sale ²⁵
	100.000	167.99	06/05/20	198.00	...	-30.01	4 of 5 - Sale ²⁵
	1.000	1.22	06/05/20	2.28	...	-1.06	5 of 5 - Sale ²⁵
06/05/20	548.000	920.09	Various	1,085.34	...	-165.25	Total of 5 transactions
06/05/20	52.000	87.35	06/05/20	102.96	0.30 W	-15.31	Sale ²⁵
	Security total:	1,007.44		1,188.30	0.30 W	-180.56	
FORTINET, INC. COMMON STOCK / CUSIP: 34959E109 / Symbol:							
11/17/20	8.000	944.68	11/12/20	930.40	...	14.28	Sale ²⁵
GENIUS BRANDS INTERNATIONAL, I NC. COMMON STOCK / CUSIP: 37229T301 / Symbol:							
8 transactions for 06/04/20. Total proceeds and cost reported to the IRS.							
	88.972	925.28	06/04/20	1,014.29	89.01 W	0.00	1 of 8 - Sale ²⁵
	4.028	41.88	06/04/20	45.91	4.03 W	0.00	2 of 8 - Sale ²⁵
	0.421	2.94	06/04/20	5.22	2.28 W	0.00	3 of 8 - Sale ²⁵
	53.579	375.05	06/04/20	442.05	67.00 W	0.00	4 of 8 - Sale ²⁵
	0.421	2.94	06/04/20	5.33	2.39 W	0.00	5 of 8 - Sale ²⁵
	4.028	28.19	06/04/20	33.23	5.04 W	0.00	6 of 8 - Sale ²⁵
	34.972	244.81	06/04/20	288.54	43.73 W	0.00	7 of 8 - Sale ²⁵
	5.579	39.06	06/04/20	40.45	1.39 W	0.00	8 of 8 - Sale ²⁵
06/04/20	192.000	1,660.15	Various	1,875.02	214.87 W	0.00	Total of 8 transactions

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(continued)

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GENIUS BRANDS INTERNATIONAL, I NC. COMMON STOCK / CUSIP: 37229T301 / Symbol: (cont'd)							
6 transactions for 06/08/20. Total proceeds and cost reported to the IRS.							
	53.579	289.31	06/05/20	450.09	...	-160.78	1 of 6 - Sale ²⁵
	81.000	437.38	06/05/20	579.15	...	-141.77	2 of 6 - Sale ²⁵
	34.972	188.84	06/05/20	293.78	...	-104.94	3 of 6 - Sale ²⁵
	4.028	21.75	06/05/20	33.84	...	-12.09	4 of 6 - Sale ²⁵
	5.579	30.13	06/05/20	41.28	...	-11.15	5 of 6 - Sale ²⁵
	0.421	2.27	06/05/20	5.40	...	-3.13	6 of 6 - Sale ²⁵
06/08/20	179.579	969.68	Various	1,403.54	...	-433.86	Total of 6 transactions
06/08/20	0.421	2.27	06/04/20	3.05	0.78 W	0.00	Sale ²⁵
06/09/20	0.421	1.76	06/05/20	3.79	...	-2.03	Sale ²⁵
	Security total:	2,633.86		3,285.40	215.65 W	-435.89	
GEVO, INC. COMMON STOCK / CUSIP: 374396406 / Symbol:							
09/17/20	1,000.000	883.06	09/16/20	890.00	...	-6.94	Sale ²⁵
GILEAD SCIENCES, INC. COMMON S TOCK / CUSIP: 375558103 / Symbol:							
04/23/20	50.000	3,781.92	04/23/20	4,000.00	218.08 W	0.00	Sale ²⁵
3 transactions for 06/04/20. Total proceeds and cost reported to the IRS.							
	29.000	2,254.69	05/19/20	2,127.15	...	127.54	1 of 3 - Sale ²⁵
	50.000	3,865.40	06/04/20	3,997.59	...	-132.19	2 of 3 - Sale ²⁵
	30.000	2,319.24	06/04/20	2,331.00	...	-11.76	3 of 3 - Sale ²⁵
06/04/20	109.000	8,439.33	Various	8,455.74	...	-16.41	Total of 3 transactions
4 transactions for 06/04/20. Total proceeds and cost reported to the IRS.							
	50.000	3,887.40	05/01/20	4,218.08	330.68 W	0.00	1 of 4 - Sale ²⁵
	50.000	3,887.41	05/01/20	4,000.00	112.59 W	0.00	2 of 4 - Sale ²⁵
	1.000	77.31	05/19/20	79.96	2.65 W	0.00	3 of 4 - Sale ²⁵
	49.000	3,788.10	06/04/20	4,131.37	0.06 W	-343.21	4 of 4 - Sale ²⁵
06/04/20	150.000	11,640.22	Various	12,429.41	445.98 W	-343.21	Total of 4 transactions
06/22/20	0.973	73.68	06/04/20	78.20	...	-4.52	Sale ²⁵
	Security total:	23,935.15		24,963.35	664.06 W	-364.14	

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GLOBAL X FUNDS GLOBAL X AUTONO MOUS & ELECTRIC VEHICLES ETF / CUSIP: 37954Y624 / Symbol:							
2 transactions for 11/12/20. Total proceeds and cost reported to the IRS.							
	0.001	0.02	11/05/20	0.02	...	0.00	1 of 2 - Sale ²⁵
	26.000	515.30	11/05/20	499.98	...	15.32	2 of 2 - Sale ²⁵
11/12/20	26.001	515.32	Various	500.00	...	15.32	Total of 2 transactions
GREAT WESTERN BANCORP, INC. / CUSIP: 391416104 / Symbol:							
3 transactions for 12/07/20. Total proceeds and cost reported to the IRS.							
	1.980	36.71	12/03/20	35.38	...	1.33	1 of 3 - Sale ²⁵
	2.674	49.52	12/03/20	47.78	...	1.74	2 of 3 - Sale ²⁵
	23.326	432.03	12/03/20	416.84	...	15.19	3 of 3 - Sale ²⁵
12/07/20	27.980	518.26	Various	500.00	...	18.26	Total of 3 transactions
GUARDION HEALTH SCIENCES, INC. COMMON STOCK / CUSIP: 40145Q203 / Symbol:							
06/03/20	4,212.000	2,218.34	06/03/20	2,290.91	...	-72.57	Sale ²⁵
HEXINDAI INC. ADR / CUSIP: 428295109 / Symbol:							
15 transactions for 05/28/20. Total proceeds and cost reported to the IRS.							
	600.000	689.91	05/28/20	774.00	...	-84.09	1 of 15 - Sale ²⁵
	450.000	517.43	05/28/20	580.50	...	-63.07	2 of 15 - Sale ²⁵
	349.000	401.30	05/28/20	450.21	...	-48.91	3 of 15 - Sale ²⁵
	1.000	1.45	05/28/20	1.44	...	0.01	4 of 15 - Sale ²⁵
	1.000	1.57	05/28/20	1.46	...	0.11	5 of 15 - Sale ²⁵
	100.000	145.37	05/28/20	144.00	...	1.37	6 of 15 - Sale ²⁵
	106.000	154.10	05/28/20	152.64	...	1.46	7 of 15 - Sale ²⁵
	200.000	289.97	05/28/20	288.00	...	1.97	8 of 15 - Sale ²⁵
	150.000	218.06	05/28/20	216.00	...	2.06	9 of 15 - Sale ²⁵
	200.000	290.75	05/28/20	288.00	...	2.75	10 of 15 - Sale ²⁵
	300.000	434.95	05/28/20	432.00	...	2.95	11 of 15 - Sale ²⁵
	500.000	724.92	05/28/20	720.00	...	4.92	12 of 15 - Sale ²⁵
	179.000	281.01	05/28/20	272.06	...	8.95	13 of 15 - Sale ²⁵
	299.000	469.39	05/28/20	454.45	...	14.94	14 of 15 - Sale ²⁵
	1,010.000	1,585.54	05/28/20	1,535.10	...	50.44	15 of 15 - Sale ²⁵
05/28/20	4,445.000	6,205.72	Various	6,309.86	...	-104.14	Total of 15 transactions

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Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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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
HEXINDAI INC. ADR / CUSIP: 428295109 / Symbol: (cont'd)							
2 transactions for 05/28/20. Total proceeds and cost reported to the IRS.							
	600.000	689.91	05/28/20	774.00	35.04 W	-49.05	1 of 2 - Sale ²⁵
	1.000	1.15	05/28/20	1.52	0.37 W	0.00	2 of 2 - Sale ²⁵
05/28/20	601.000	691.06	Various	775.52	35.41 W	-49.05	Total of 2 transactions
3 transactions for 05/29/20. Total proceeds and cost reported to the IRS.							
	151.000	172.12	05/28/20	215.95	...	-43.83	1 of 3 - Sale ²⁵
	99.000	113.84	05/28/20	141.59	...	-27.75	2 of 3 - Sale ²⁵
	1.000	1.15	05/28/20	1.66	...	-0.51	3 of 3 - Sale ²⁵
05/29/20	251.000	287.11	Various	359.20	...	-72.09	Total of 3 transactions
	Security total:	7,183.89		7,444.58	35.41 W	-225.28	
IDEANOMICS, INC. COMMON STOCK / CUSIP: 45166V106 / Symbol:							
6 transactions for 06/22/20. Total proceeds and cost reported to the IRS.							
	209.000	789.97	06/22/20	796.29	...	-6.32	1 of 6 - Sale ²⁵
	209.000	789.98	06/22/20	795.25	...	-5.27	2 of 6 - Sale ²⁵
	200.000	755.96	06/22/20	761.00	...	-5.04	3 of 6 - Sale ²⁵
	191.000	721.94	06/22/20	726.76	...	-4.82	4 of 6 - Sale ²⁵
	100.000	377.98	06/22/20	380.50	...	-2.52	5 of 6 - Sale ²⁵
	91.000	343.96	06/22/20	346.26	...	-2.30	6 of 6 - Sale ²⁵
06/22/20	1,000.000	3,779.79	Various	3,806.06	...	-26.27	Total of 6 transactions
IMMURON LIMITED AMERICAN DEPOS ITARY SHARES / CUSIP: 45254U101 / Symbol:							
14 transactions for 06/09/20. Total proceeds and cost reported to the IRS.							
	69.000	1,310.96	06/09/20	2,287.39	...	-976.43	1 of 14 - Sale ²⁵
	100.000	1,899.95	06/09/20	2,760.00	...	-860.05	2 of 14 - Sale ²⁵
	70.000	1,329.96	06/09/20	1,932.00	...	-602.04	3 of 14 - Sale ²⁵
	30.000	569.98	06/09/20	994.52	...	-424.54	4 of 14 - Sale ²⁵
	1.000	19.00	06/09/20	27.60	...	-8.60	5 of 14 - Sale ²⁵
	1.000	19.00	06/09/20	24.55	...	-5.55	6 of 14 - Sale ²⁵
	38.000	990.63	06/09/20	988.00	...	2.63	7 of 14 - Sale ²⁵
	42.000	1,094.91	06/09/20	1,092.00	...	2.91	8 of 14 - Sale ²⁵
	84.000	2,188.98	06/09/20	2,184.00	...	4.98	9 of 14 - Sale ²⁵
	96.000	2,503.61	06/09/20	2,496.00	...	7.61	10 of 14 - Sale ²⁵

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Account 148354244

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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IMMURON LIMITED AMERICAN DEPOS ITARY SHARES / CUSIP: 45254U101 / Symbol: (cont'd)							
	120.000	3,128.32	06/09/20	3,120.00	...	8.32	11 of 14 - Sale ²⁵
	5.000	115.00	06/09/20	105.00	...	10.00	12 of 14 - Sale ²⁵
	200.000	4,599.87	06/09/20	4,200.00	...	399.87	13 of 14 - Sale ²⁵
	230.000	5,289.85	06/09/20	4,140.00	...	1,149.85	14 of 14 - Sale ²⁵
06/09/20	1,086.000	25,060.02	Various	26,351.06	...	-1,291.04	Total of 14 transactions
06/09/20	99.000	1,880.94	06/09/20	2,430.45	549.51 W	0.00	Sale ²⁵
	Security total:	26,940.96		28,781.51	549.51 W	-1,291.04	
INOVIO PHARMACEUTICALS, INC. C OMMON STOCK / CUSIP: 45773H201 / Symbol:							
03/11/20	200.000	1,639.94	03/11/20	1,300.00	...	339.94	Sale ²⁵
	4 transactions for 04/20/20. Total proceeds and cost reported to the IRS.						
	20.000	186.59	03/30/20	173.00	...	13.59	1 of 4 - Sale ²⁵
	59.000	550.45	03/30/20	510.35	...	40.10	2 of 4 - Sale ²⁵
	121.000	1,128.89	03/30/20	1,046.65	...	82.24	3 of 4 - Sale ²⁵
	114.000	1,063.58	04/16/20	855.00	...	208.58	4 of 4 - Sale ²⁵
04/20/20	314.000	2,929.51	Various	2,585.00	...	344.51	Total of 4 transactions
04/20/20	186.000	1,735.32	03/12/20	1,860.00	124.68 W	0.00	Sale ²⁵
	2 transactions for 06/11/20. Total proceeds and cost reported to the IRS.						
	86.000	1,036.36	04/16/20	645.00	...	391.36	1 of 2 - Sale ²⁵
	186.000	2,241.43	04/16/20	1,519.68	...	721.75	2 of 2 - Sale ²⁵
06/11/20	272.000	3,277.79	Various	2,164.68	...	1,113.11	Total of 2 transactions
	5 transactions for 06/11/20. Total proceeds and cost reported to the IRS.						
	280.000	3,374.20	04/23/20	3,612.00	237.80 W	0.00	1 of 5 - Sale ²⁵
	100.000	1,205.07	04/24/20	1,425.00	219.93 W	0.00	2 of 5 - Sale ²⁵
	399.000	4,808.24	06/09/20	5,127.15	219.80 W	-99.11	3 of 5 - Sale ²⁵
	98.000	1,180.97	06/09/20	1,258.32	77.35 W	0.00	4 of 5 - Sale ²⁵
	58.000	698.94	06/09/20	745.30	46.36 W	0.00	5 of 5 - Sale ²⁵
06/11/20	935.000	11,267.42	Various	12,167.77	801.24 W	-99.11	Total of 5 transactions
11/05/20	20.000	215.99	06/19/20	329.39	...	-113.40	Sale ²⁵
11/05/20	280.000	3,023.89	06/19/20	4,233.40	431.97 W	-777.54	Sale ²⁵
	7 transactions for 11/09/20. Total proceeds and cost reported to the IRS.						
	98.000	837.87	06/19/20	1,475.81	...	-637.94	1 of 7 - Sale ²⁵
	80.000	683.97	06/19/20	1,317.54	...	-633.57	2 of 7 - Sale ²⁵

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(continued)

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INOVIO PHARMACEUTICALS, INC. C OMMON STOCK / CUSIP: 45773H201 / Symbol: (cont'd)							
	58.000	495.88	06/19/20	874.02	...	-378.14	3 of 7 - Sale ²⁵
	14.000	119.70	06/19/20	210.97	...	-91.27	4 of 7 - Sale ²⁵
	100.000	854.97	06/25/20	2,811.91	...	-1,956.94	5 of 7 - Sale ²⁵
	100.000	854.97	06/26/20	2,939.93	...	-2,084.96	6 of 7 - Sale ²⁵
	50.000	427.48	06/26/20	1,462.81	...	-1,035.33	7 of 7 - Sale ²⁵
11/09/20	500.000	4,274.84	Various	11,092.99	...	-6,818.15	Total of 7 transactions
	Security total:	28,364.70		35,733.23	1,357.89 W	-6,010.64	
INVESCO MORTGAGE CAPITAL INC. / CUSIP: 46131B100 / Symbol:							
4 transactions for 06/08/20. Total proceeds and cost reported to the IRS.							
	6.952	50.84	06/08/20	46.02	...	4.82	1 of 4 - Sale ²⁵
	12.000	87.74	06/08/20	79.44	...	8.30	2 of 4 - Sale ²⁵
	32.000	233.99	06/08/20	211.84	...	22.15	3 of 4 - Sale ²⁵
	99.804	729.77	06/08/20	660.70	...	69.07	4 of 4 - Sale ²⁵
06/08/20	150.756	1,102.34	Various	998.00	...	104.34	Total of 4 transactions
JIAYIN GROUP INC. AMERICAN DEP OSITARY SHARES / CUSIP: 47737C104 / Symbol:							
6 transactions for 06/18/20. Total proceeds and cost reported to the IRS.							
	990.000	5,504.15	06/18/20	5,504.40	...	-0.25	1 of 6 - Sale ²⁵
	10.000	55.60	06/18/20	55.60	...	0.00	2 of 6 - Sale ²⁵
	181.000	1,013.59	06/18/20	1,006.36	...	7.23	3 of 6 - Sale ²⁵
	200.000	1,119.95	06/18/20	1,112.00	...	7.95	4 of 6 - Sale ²⁵
	619.000	3,466.37	06/18/20	3,441.64	...	24.73	5 of 6 - Sale ²⁵
	1,000.000	5,599.75	06/18/20	5,560.00	...	39.75	6 of 6 - Sale ²⁵
06/18/20	3,000.000	16,759.41	Various	16,680.00	...	79.41	Total of 6 transactions
KIRKLAND'S, INC. COMMONSTOCK / CUSIP: 497498105 / Symbol:							
06/29/20	370.000	854.67	06/22/20	991.60	...	-136.93	Sale ²⁵
06/29/20	1,129.000	2,607.91	06/22/20	3,025.72	0.37 W	-417.44	Sale ²⁵
11/12/20	0.850	8.67	06/22/20	2.59	...	6.08	Sale ²⁵
	Security total:	3,471.25		4,019.91	0.37 W	-548.29	

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2020 1099-B* OMB No. 1545-0715

(continued)

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LUCKIN COFFEE INC AMERICAN DEP OSITARY SHARES - SPONSORED / CUSIP: 54951L109 / Symbol:							
2 transactions for 06/08/20. Total proceeds and cost reported to the IRS.							
	11.374	55.96	06/08/20	53.56	...	2.40	1 of 2 - Sale ²⁵
	222.626	1,095.26	06/08/20	1,048.35	...	46.91	2 of 2 - Sale ²⁵
06/08/20	234.000	1,151.22	Various	1,101.91	...	49.31	Total of 2 transactions
06/11/20	0.019	0.06	06/08/20	0.09	...	-0.03	Sale ²⁵
	Security total:	1,151.28		1,102.00	...	49.28	
MARINUS PHARMACEUTICALS, INC. COMMON STOCK / CUSIP: 56854Q101 / Symbol:							
09/17/20	1,000.000	2,999.81	09/16/20	3,079.90	...	-80.09	Sale ²⁵
MESOBLAST LIMITED AMERICAN DEP OSITARY SHARES / CUSIP: 590717104 / Symbol:							
3 transactions for 05/26/20. Total proceeds and cost reported to the IRS.							
	45.000	587.41	05/14/20	544.50	...	42.91	1 of 3 - Sale ²⁵
	100.000	1,305.36	05/14/20	1,210.00	...	95.36	2 of 3 - Sale ²⁵
	325.000	4,242.41	05/14/20	3,932.50	...	309.91	3 of 3 - Sale ²⁵
05/26/20	470.000	6,135.18	Various	5,687.00	...	448.18	Total of 3 transactions
06/11/20	4.000	49.52	05/14/20	48.40	...	1.12	Sale ²⁵
11/13/20	0.900	10.33	05/14/20	10.89	...	-0.56	Sale ²⁵
	Security total:	6,195.03		5,746.29	...	448.74	
MICROSOFT CORPORATION COMMON S TOCK / CUSIP: 594918104 / Symbol:							
03/02/20	6.000	989.14	01/27/20	966.78	...	22.36	Sale ²⁵
03/02/20	2.000	329.71	02/20/20	368.00	38.29 W	0.00	Sale ²⁵
3 transactions for 03/31/20. Total proceeds and cost reported to the IRS.							
	5.000	799.98	02/20/20	920.00	...	-120.02	1 of 3 - Sale ²⁵
	2.000	319.99	03/09/20	338.29	...	-18.30	2 of 3 - Sale ²⁵
	4.000	639.99	03/09/20	600.00	...	39.99	3 of 3 - Sale ²⁵
03/31/20	11.000	1,759.96	Various	1,858.29	...	-98.33	Total of 3 transactions
	Security total:	3,078.81		3,193.07	38.29 W	-75.97	
MILESTONE PHARMACEUTICALS INC. COMMON SHARES / CUSIP: 59935V107 / Symbol:							
3 transactions for 06/04/20. Total proceeds and cost reported to the IRS.							
	100.000	356.99	06/04/20	357.00	...	-0.01	1 of 3 - Sale ²⁵
	86.631	309.26	06/04/20	309.27	...	-0.01	2 of 3 - Sale ²⁵

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MILESTONE PHARMACEUTICALS INC. COMMON SHARES / CUSIP: 59935V107 / Symbol: (cont'd)							
	8.369	29.88	06/04/20	29.88	...	0.00	3 of 3 - Sale ²⁵
06/04/20	195.000	696.13	Various	696.15	...	-0.02	Total of 3 transactions
06/05/20	0.519	1.93	06/04/20	1.85	...	0.08	Sale ²⁵
	Security total:	698.06		698.00	...	0.06	
MODERNA, INC. COMMON STOCK / CUSIP: 60770K107 / Symbol:							
03/19/20	5.000	171.00	03/10/20	115.00	...	56.00	Sale ²⁵
03/30/20	99.000	3,019.42	03/24/20	2,475.00	...	544.42	Sale ²⁵
04/23/20	1.000	48.25	03/24/20	25.00	...	23.25	Sale ²⁵
04/23/20	79.000	3,811.83	04/23/20	3,839.40	27.57 W	0.00	Sale ²⁵
	4 transactions for 05/08/20. Total proceeds and cost reported to the IRS.						
	1.000	58.62	04/23/20	48.60	...	10.02	1 of 4 - Sale ²⁵
	21.000	1,230.99	04/27/20	1,059.45	...	171.54	2 of 4 - Sale ²⁵
	24.000	1,406.84	04/27/20	1,210.80	...	196.04	3 of 4 - Sale ²⁵
	79.000	4,630.87	04/27/20	4,013.12	...	617.75	4 of 4 - Sale ²⁵
05/08/20	125.000	7,327.32	Various	6,331.97	...	995.35	Total of 4 transactions
05/20/20	1.000	69.69	04/27/20	50.45	...	19.24	Sale ²⁵
	5 transactions for 05/20/20. Total proceeds and cost reported to the IRS.						
	1.000	69.69	05/19/20	76.75	7.06 W	0.00	1 of 5 - Sale ²⁵
	82.000	5,714.44	05/19/20	5,740.00	25.56 W	0.00	2 of 5 - Sale ²⁵
	1.000	69.69	05/19/20	77.06	7.37 W	0.00	3 of 5 - Sale ²⁵
	9.000	627.19	05/19/20	630.00	2.81 W	0.00	4 of 5 - Sale ²⁵
	8.000	557.42	05/19/20	560.00	2.58 W	0.00	5 of 5 - Sale ²⁵
05/20/20	101.000	7,038.43	Various	7,083.81	45.38 W	0.00	Total of 5 transactions
	6 transactions for 05/21/20. Total proceeds and cost reported to the IRS.						
	62.000	4,170.02	05/21/20	4,235.33	65.31 W	0.00	1 of 6 - Sale ²⁵
	1.000	67.26	05/21/20	75.37	8.11 W	0.00	2 of 6 - Sale ²⁵
	8.000	538.07	05/21/20	546.58	8.51 W	0.00	3 of 6 - Sale ²⁵
	9.000	605.32	05/21/20	614.81	9.49 W	0.00	4 of 6 - Sale ²⁵
	20.000	1,345.17	05/21/20	1,366.23	21.06 W	0.00	5 of 6 - Sale ²⁵
	9.000	605.32	05/21/20	612.00	6.68 W	0.00	6 of 6 - Sale ²⁵
05/21/20	109.000	7,331.16	Various	7,450.32	119.16 W	0.00	Total of 6 transactions

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Robinhood Securities LLC

Account 148354244

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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

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1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
MODERNA, INC. COMMON STOCK / CUSIP: 60770K107 / Symbol: (cont'd)							
5 transactions for 05/28/20. Total proceeds and cost reported to the IRS.							
	0.106	6.10	05/28/20	6.04	...	0.06	1 of 5 - Sale ²⁵
	1.439	81.45	05/28/20	80.23	...	1.22	2 of 5 - Sale ²⁵
	2.894	167.16	05/28/20	165.41	...	1.75	3 of 5 - Sale ²⁵
	4.766	275.24	05/28/20	265.73	...	9.51	4 of 5 - Sale ²⁵
	90.234	5,211.35	05/28/20	5,031.35	...	180.00	5 of 5 - Sale ²⁵
05/28/20	99.439	5,741.30	Various	5,548.76	...	192.54	Total of 5 transactions
92 transactions for 05/28/20. Total proceeds and cost reported to the IRS.							
	1.000	55.55	05/21/20	69.05	13.50 W	0.00	1 of 92 - Sale ²⁵
	1.000	55.55	05/22/20	77.90	22.35 W	0.00	2 of 92 - Sale ²⁵
	8.000	444.40	05/22/20	566.83	122.43 W	0.00	3 of 92 - Sale ²⁵
	9.000	499.95	05/22/20	637.60	137.65 W	0.00	4 of 92 - Sale ²⁵
	20.000	1,111.00	05/22/20	1,416.86	305.86 W	0.00	5 of 92 - Sale ²⁵
	61.000	3,388.54	05/22/20	4,321.45	932.91 W	0.00	6 of 92 - Sale ²⁵
	0.252	14.58	05/22/20	17.81	3.23 W	0.00	7 of 92 - Sale ²⁵
	5.748	332.04	05/22/20	405.38	73.34 W	0.00	8 of 92 - Sale ²⁵
	1.000	57.75	05/28/20	69.91	12.16 W	0.00	9 of 92 - Sale ²⁵
	1.000	57.75	05/28/20	78.75	21.00 W	0.00	10 of 92 - Sale ²⁵
	4.106	237.12	05/28/20	294.41	57.29 W	0.00	11 of 92 - Sale ²⁵
	9.000	519.78	05/28/20	645.29	125.51 W	0.00	12 of 92 - Sale ²⁵
	20.000	1,155.07	05/28/20	1,433.96	278.89 W	0.00	13 of 92 - Sale ²⁵
	61.000	3,522.96	05/28/20	4,373.62	850.66 W	0.00	14 of 92 - Sale ²⁵
	3.894	224.91	05/28/20	279.26	54.35 W	0.00	15 of 92 - Sale ²⁵
	1.122	64.79	05/28/20	77.60	12.81 W	0.00	16 of 92 - Sale ²⁵
	4.626	267.15	05/28/20	316.94	49.79 W	0.00	17 of 92 - Sale ²⁵
	0.251	14.42	05/28/20	17.55	3.13 W	0.00	18 of 92 - Sale ²⁵
	0.749	42.89	05/28/20	52.23	9.34 W	0.00	19 of 92 - Sale ²⁵
	1.000	57.30	05/28/20	78.62	21.32 W	0.00	20 of 92 - Sale ²⁵
	3.894	223.15	05/28/20	278.73	55.58 W	0.00	21 of 92 - Sale ²⁵
	4.106	235.25	05/28/20	293.84	58.59 W	0.00	22 of 92 - Sale ²⁵
	9.000	515.70	05/28/20	644.06	128.36 W	0.00	23 of 92 - Sale ²⁵
	20.000	1,145.99	05/28/20	1,431.22	285.23 W	0.00	24 of 92 - Sale ²⁵
	61.000	3,495.28	05/28/20	4,365.28	870.00 W	0.00	25 of 92 - Sale ²⁵
	0.252	14.47	05/28/20	17.78	3.31 W	0.00	26 of 92 - Sale ²⁵

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Robinhood Securities LLC

Account 148354244

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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MODERNA, INC. COMMON STOCK / CUSIP: 60770K107 / Symbol: (cont'd)							
	1.122	64.28	05/28/20	77.45	13.17 W	0.00	27 of 92 - Sale ²⁵
	4.626	265.05	05/28/20	316.31	51.26 W	0.00	28 of 92 - Sale ²⁵
	94.430	5,410.82	05/28/20	5,440.75	29.93 W	0.00	29 of 92 - Sale ²⁵
	0.251	14.41	05/28/20	17.62	3.21 W	0.00	30 of 92 - Sale ²⁵
	9.570	548.35	05/28/20	551.38	3.03 W	0.00	31 of 92 - Sale ²⁵
	0.749	41.78	05/28/20	52.00	10.22 W	0.00	32 of 92 - Sale ²⁵
	1.000	55.82	05/28/20	78.31	22.49 W	0.00	33 of 92 - Sale ²⁵
	3.894	217.38	05/28/20	277.52	60.14 W	0.00	34 of 92 - Sale ²⁵
	4.106	229.17	05/28/20	292.57	63.40 W	0.00	35 of 92 - Sale ²⁵
	9.000	502.37	05/28/20	641.27	138.90 W	0.00	36 of 92 - Sale ²⁵
	20.000	1,116.37	05/28/20	1,425.03	308.66 W	0.00	37 of 92 - Sale ²⁵
	61.000	3,404.94	05/28/20	4,346.39	941.45 W	0.00	38 of 92 - Sale ²⁵
	0.251	14.04	05/28/20	17.63	3.59 W	0.00	39 of 92 - Sale ²⁵
	0.001	0.06	05/28/20	0.07	0.01 W	0.00	40 of 92 - Sale ²⁵
	1.122	62.62	05/28/20	77.10	14.48 W	0.00	41 of 92 - Sale ²⁵
	4.626	258.20	05/28/20	314.88	56.68 W	0.00	42 of 92 - Sale ²⁵
	94.251	5,260.99	05/28/20	5,401.26	140.27 W	0.00	43 of 92 - Sale ²⁵
	0.122	6.80	05/28/20	8.49	1.69 W	0.00	44 of 92 - Sale ²⁵
	0.179	9.98	05/28/20	10.25	0.27 W	0.00	45 of 92 - Sale ²⁵
	0.130	7.24	05/28/20	9.05	1.81 W	0.00	46 of 92 - Sale ²⁵
	9.570	534.17	05/28/20	548.51	14.34 W	0.00	47 of 92 - Sale ²⁵
	0.561	31.33	05/28/20	32.00	0.67 W	0.00	48 of 92 - Sale ²⁵
	0.090	5.11	05/28/20	6.27	1.16 W	0.00	49 of 92 - Sale ²⁵
	0.658	37.27	05/28/20	45.70	8.43 W	0.00	50 of 92 - Sale ²⁵
	0.539	30.49	05/28/20	42.14	11.65 W	0.00	51 of 92 - Sale ²⁵
	0.122	6.89	05/28/20	8.48	1.59 W	0.00	52 of 92 - Sale ²⁵
	0.130	7.34	05/28/20	9.04	1.70 W	0.00	53 of 92 - Sale ²⁵
	0.462	26.13	05/28/20	36.12	9.99 W	0.00	54 of 92 - Sale ²⁵
	3.894	220.47	05/28/20	277.33	56.86 W	0.00	55 of 92 - Sale ²⁵
	4.106	232.43	05/28/20	292.37	59.94 W	0.00	56 of 92 - Sale ²⁵
	9.000	509.52	05/28/20	640.83	131.31 W	0.00	57 of 92 - Sale ²⁵
	20.000	1,132.27	05/28/20	1,424.06	291.79 W	0.00	58 of 92 - Sale ²⁵
	61.000	3,453.43	05/28/20	4,343.41	889.98 W	0.00	59 of 92 - Sale ²⁵
	0.001	0.06	05/28/20	0.07	0.01 W	0.00	60 of 92 - Sale ²⁵

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Robinhood Securities LLC

Account 148354244

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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MODERNA, INC. COMMON STOCK / CUSIP: 60770K107 / Symbol: (cont'd)							
	0.251	14.24	05/28/20	17.61	3.37 W	0.00	61 of 92 - Sale ²⁵
	1.122	63.51	05/28/20	77.05	13.54 W	0.00	62 of 92 - Sale ²⁵
	4.626	261.88	05/28/20	314.65	52.77 W	0.00	63 of 92 - Sale ²⁵
	0.179	10.12	05/28/20	10.24	0.12 W	0.00	64 of 92 - Sale ²⁵
	2.660	150.60	05/28/20	152.35	1.75 W	0.00	65 of 92 - Sale ²⁵
	94.251	5,335.92	05/28/20	5,396.66	60.74 W	0.00	66 of 92 - Sale ²⁵
	0.090	5.11	05/28/20	6.20	1.09 W	0.00	67 of 92 - Sale ²⁵
	0.539	30.49	05/28/20	41.68	11.19 W	0.00	68 of 92 - Sale ²⁵
	0.658	37.26	05/28/20	45.14	7.88 W	0.00	69 of 92 - Sale ²⁵
	0.561	31.78	05/28/20	31.98	0.20 W	0.00	70 of 92 - Sale ²⁵
	6.910	391.18	05/28/20	395.70	4.52 W	0.00	71 of 92 - Sale ²⁵
	0.090	5.05	05/28/20	6.20	1.15 W	0.00	72 of 92 - Sale ²⁵
	0.122	6.80	05/28/20	8.47	1.67 W	0.00	73 of 92 - Sale ²⁵
	0.130	7.25	05/28/20	9.04	1.79 W	0.00	74 of 92 - Sale ²⁵
	0.462	25.78	05/28/20	36.09	10.31 W	0.00	75 of 92 - Sale ²⁵
	0.539	30.09	05/28/20	41.64	11.55 W	0.00	76 of 92 - Sale ²⁵
	0.658	36.77	05/28/20	45.10	8.33 W	0.00	77 of 92 - Sale ²⁵
	3.894	217.57	05/28/20	277.09	59.52 W	0.00	78 of 92 - Sale ²⁵
	4.106	229.38	05/28/20	292.11	62.73 W	0.00	79 of 92 - Sale ²⁵
	9.000	502.82	05/28/20	640.26	137.44 W	0.00	80 of 92 - Sale ²⁵
	20.000	1,117.38	05/28/20	1,422.79	305.41 W	0.00	81 of 92 - Sale ²⁵
	61.000	3,408.01	05/28/20	4,339.53	931.52 W	0.00	82 of 92 - Sale ²⁵
	0.001	0.06	05/28/20	0.07	0.01 W	0.00	83 of 92 - Sale ²⁵
	0.251	14.05	05/28/20	17.59	3.54 W	0.00	84 of 92 - Sale ²⁵
	1.122	62.68	05/28/20	76.98	14.30 W	0.00	85 of 92 - Sale ²⁵
	4.626	258.43	05/28/20	314.35	55.92 W	0.00	86 of 92 - Sale ²⁵
	0.179	9.98	05/28/20	10.23	0.25 W	0.00	87 of 92 - Sale ²⁵
	0.561	31.36	05/28/20	31.94	0.58 W	0.00	88 of 92 - Sale ²⁵
	2.660	148.62	05/28/20	152.18	3.56 W	0.00	89 of 92 - Sale ²⁵
	6.910	386.04	05/28/20	395.26	9.22 W	0.00	90 of 92 - Sale ²⁵
	94.251	5,265.75	05/28/20	5,390.66	124.91 W	0.00	91 of 92 - Sale ²⁵
	9.439	527.33	05/28/20	533.76	6.43 W	0.00	92 of 92 - Sale ²⁵
05/28/20	1,064.409	60,094.21	Various	69,854.19	9,759.98 W	0.00	Total of 92 transactions

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Account 148354244

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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MODERNA, INC. COMMON STOCK / CUSIP: 60770K107 / Symbol: (cont'd)							
<i>7 transactions for 06/11/20. Total proceeds and cost reported to the IRS.</i>							
	0.137	8.13	05/28/20	7.86	...	0.27	1 of 7 - Sale ²⁵
	0.179	10.58	05/28/20	10.29	...	0.29	2 of 7 - Sale ²⁵
	0.424	25.09	05/28/20	24.26	...	0.83	3 of 7 - Sale ²⁵
	2.660	157.42	05/28/20	153.02	...	4.40	4 of 7 - Sale ²⁵
	6.910	408.89	05/28/20	397.45	...	11.44	5 of 7 - Sale ²⁵
	9.439	558.54	05/28/20	536.76	...	21.78	6 of 7 - Sale ²⁵
	94.251	5,577.48	05/28/20	5,420.53	...	156.95	7 of 7 - Sale ²⁵
06/11/20	114.000	6,746.13	Various	6,550.17	...	195.96	Total of 7 transactions
<i>16 transactions for 06/11/20. Total proceeds and cost reported to the IRS.</i>							
	0.137	8.13	05/28/20	10.78	2.65 W	0.00	1 of 16 - Sale ²⁵
	0.090	5.34	05/28/20	6.22	0.88 W	0.00	2 of 16 - Sale ²⁵
	0.122	7.20	05/28/20	8.51	1.31 W	0.00	3 of 16 - Sale ²⁵
	0.130	7.68	05/28/20	9.08	1.40 W	0.00	4 of 16 - Sale ²⁵
	0.324	19.18	05/28/20	25.45	6.27 W	0.00	5 of 16 - Sale ²⁵
	0.539	31.87	05/28/20	41.81	9.94 W	0.00	6 of 16 - Sale ²⁵
	0.658	38.95	05/28/20	45.31	6.36 W	0.00	7 of 16 - Sale ²⁵
	3.894	230.45	05/28/20	278.33	47.88 W	0.00	8 of 16 - Sale ²⁵
	4.106	242.96	05/28/20	293.41	50.45 W	0.00	9 of 16 - Sale ²⁵
	9.000	532.59	05/28/20	643.12	110.53 W	0.00	10 of 16 - Sale ²⁵
	20.000	1,183.53	05/28/20	1,429.13	245.60 W	0.00	11 of 16 - Sale ²⁵
	61.000	3,609.77	05/28/20	4,358.87	749.10 W	0.00	12 of 16 - Sale ²⁵
	0.001	0.06	05/28/20	0.07	0.01 W	0.00	13 of 16 - Sale ²⁵
	0.251	14.88	05/28/20	17.67	2.79 W	0.00	14 of 16 - Sale ²⁵
	1.122	66.39	05/28/20	77.33	10.94 W	0.00	15 of 16 - Sale ²⁵
	4.626	273.73	05/28/20	315.82	42.09 W	0.00	16 of 16 - Sale ²⁵
06/11/20	106.000	6,272.71	Various	7,560.91	1,288.20 W	0.00	Total of 16 transactions
<i>8 transactions for 06/17/20. Total proceeds and cost reported to the IRS.</i>							
	4.626	297.19	06/16/20	333.97	...	-36.78	1 of 8 - Sale ²⁵
	0.750	48.20	06/16/20	54.66	...	-6.46	2 of 8 - Sale ²⁵
	0.372	23.88	06/16/20	27.07	...	-3.19	3 of 8 - Sale ²⁵
	0.251	16.16	06/16/20	18.66	...	-2.50	4 of 8 - Sale ²⁵
	0.001	0.06	06/16/20	0.07	...	-0.01	5 of 8 - Sale ²⁵

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(continued)

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MODERNA, INC. COMMON STOCK / CUSIP: 60770K107 / Symbol: (cont'd)							
	50.000	3,212.41	06/16/20	3,155.00	...	57.41	6 of 8 - Sale ²⁵
	94.624	6,079.42	06/16/20	5,970.78	...	108.64	7 of 8 - Sale ²⁵
	99.376	6,384.73	06/16/20	6,270.62	...	114.11	8 of 8 - Sale ²⁵
06/17/20	250.000	16,062.05	Various	15,830.83	...	231.22	Total of 8 transactions
	13 transactions for 06/17/20. Total proceeds and cost reported to the IRS.						
	0.041	2.62	05/28/20	2.73	0.11 W	0.00	1 of 13 - Sale ²⁵
	0.122	7.82	05/28/20	8.15	0.33 W	0.00	2 of 13 - Sale ²⁵
	0.137	8.82	05/28/20	10.36	1.54 W	0.00	3 of 13 - Sale ²⁵
	0.324	20.83	05/28/20	24.49	3.66 W	0.00	4 of 13 - Sale ²⁵
	3.894	250.21	06/16/20	293.61	5.78 W	-37.62	5 of 13 - Sale ²⁵
	0.089	5.71	06/16/20	6.57	0.86 W	0.00	6 of 13 - Sale ²⁵
	0.090	5.80	06/16/20	6.58	0.78 W	0.00	7 of 13 - Sale ²⁵
	0.539	34.60	06/16/20	43.92	9.32 W	0.00	8 of 13 - Sale ²⁵
	0.658	42.29	06/16/20	47.89	5.60 W	0.00	9 of 13 - Sale ²⁵
	4.106	263.78	06/16/20	309.52	45.74 W	0.00	10 of 13 - Sale ²⁵
	9.000	578.23	06/16/20	678.43	100.20 W	0.00	11 of 13 - Sale ²⁵
	20.000	1,284.96	06/16/20	1,507.60	222.64 W	0.00	12 of 13 - Sale ²⁵
	61.000	3,919.14	06/16/20	4,598.20	679.06 W	0.00	13 of 13 - Sale ²⁵
06/17/20	100.000	6,424.81	Various	7,538.05	1,075.62 W	-37.62	Total of 13 transactions
	3 transactions for 06/23/20. Total proceeds and cost reported to the IRS.						
	0.324	20.77	06/16/20	24.12	...	-3.35	1 of 3 - Sale ²⁵
	0.137	8.80	06/16/20	10.20	...	-1.40	2 of 3 - Sale ²⁵
	0.111	7.09	06/16/20	7.28	...	-0.19	3 of 3 - Sale ²⁵
06/23/20	0.572	36.66	Various	41.60	...	-4.94	Total of 3 transactions
	14 transactions for 11/18/20. Total proceeds and cost reported to the IRS.						
	0.011	1.01	06/16/20	0.73	...	0.28	1 of 14 - Sale ²⁵
	0.041	3.68	06/16/20	2.69	...	0.99	2 of 14 - Sale ²⁵
	0.089	8.02	06/26/20	6.18	...	1.84	3 of 14 - Sale ²⁵
	0.090	8.15	06/26/20	6.18	...	1.97	4 of 14 - Sale ²⁵
	0.539	48.57	06/26/20	41.52	...	7.05	5 of 14 - Sale ²⁵
	0.658	59.37	06/26/20	44.96	...	14.41	6 of 14 - Sale ²⁵
	11.624	1,048.53	06/26/20	824.52	...	224.01	7 of 14 - Sale ²⁵
	13.000	1,172.64	06/26/20	922.12	...	250.52	8 of 14 - Sale ²⁵

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Robinhood Securities LLC

Account 148354244

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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MODERNA, INC. COMMON STOCK / CUSIP: 60770K107 / Symbol: (cont'd)							
	0.518	46.76	07/02/20	35.75	...	11.01	9 of 14 - Sale ²⁵
	4.106	370.34	07/02/20	283.04	...	87.30	10 of 14 - Sale ²⁵
	9.000	811.83	07/02/20	620.40	...	191.43	11 of 14 - Sale ²⁵
	17.000	1,533.45	07/02/20	1,171.85	...	361.60	12 of 14 - Sale ²⁵
	19.376	1,747.77	07/02/20	1,335.62	...	412.15	13 of 14 - Sale ²⁵
	20.000	1,804.06	07/02/20	1,378.64	...	425.42	14 of 14 - Sale ²⁵
11/18/20	96.052	8,664.18	Various	6,674.20	...	1,989.98	Total of 14 transactions
	Security total:	138,859.15		146,969.66	12,315.91 W	4,205.40	
NIO INC. AMERICAN DEPOSITARY S HARES, EACH REPRESENTING ONE CLASS A ORDINARY SHARE / CUSIP: 62914V106 / Symbol:							
11/11/20	25.000	1,027.97	11/10/20	1,012.75	...	15.22	Sale ²⁵
NIKOLA CORPORATION COMMON STOCK / CUSIP: 654110105 / Symbol:							
06/08/20	20.000	1,289.97	06/08/20	1,194.23	...	95.74	Sale ²⁵
06/08/20	20.000	1,168.77	06/08/20	1,170.00	1.23 W	0.00	Sale ²⁵
	Security total:	2,458.74		2,364.23	1.23 W	95.74	
NOVAN, INC. COMMON STOCK / CUSIP: 66988N106 / Symbol:							
7 transactions for 06/15/20. Total proceeds and cost reported to the IRS.							
	71.000	57.58	06/15/20	56.80	...	0.78	1 of 7 - Sale ²⁵
	100.000	81.11	06/15/20	80.00	...	1.11	2 of 7 - Sale ²⁵
	300.000	243.26	06/15/20	240.00	...	3.26	3 of 7 - Sale ²⁵
	500.000	405.44	06/15/20	400.00	...	5.44	4 of 7 - Sale ²⁵
	622.000	504.48	06/15/20	497.60	...	6.88	5 of 7 - Sale ²⁵
	700.000	567.88	06/15/20	560.00	...	7.88	6 of 7 - Sale ²⁵
	37,707.000	30,575.21	06/15/20	30,165.60	...	409.61	7 of 7 - Sale ²⁵
06/15/20	40,000.000	32,434.96	Various	32,000.00	...	434.96	Total of 7 transactions
18 transactions for 06/15/20. Total proceeds and cost reported to the IRS.							
	3,387.000	2,544.19	06/15/20	2,709.26	165.07 W	0.00	1 of 18 - Sale ²⁵
	21,613.000	16,206.82	06/15/20	17,288.24	1,081.42 W	0.00	2 of 18 - Sale ²⁵
	1,600.000	1,199.78	06/15/20	1,357.50	157.72 W	0.00	3 of 18 - Sale ²⁵
	1,787.000	1,340.01	06/15/20	1,516.15	176.14 W	0.00	4 of 18 - Sale ²⁵
	3,013.000	2,259.34	06/15/20	2,409.50	150.16 W	0.00	5 of 18 - Sale ²⁵
	1,600.000	1,199.78	06/15/20	1,279.52	79.74 W	0.00	6 of 18 - Sale ²⁵

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(continued)

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NOVAN, INC. COMMON STOCK / CUSIP: 66988N106 / Symbol: (cont'd)							
	2,000.000	1,499.73	06/15/20	1,599.40	99.67 W	0.00	7 of 18 - Sale ²⁵
	2,600.000	1,949.65	06/15/20	2,079.48	129.83 W	0.00	8 of 18 - Sale ²⁵
	400.000	299.94	06/15/20	319.92	19.98 W	0.00	9 of 18 - Sale ²⁵
	1,200.000	899.84	06/15/20	959.88	60.04 W	0.00	10 of 18 - Sale ²⁵
	800.000	599.89	06/15/20	639.92	40.03 W	0.00	11 of 18 - Sale ²⁵
	378.000	291.01	06/15/20	309.97	18.96 W	0.00	12 of 18 - Sale ²⁵
	1,122.000	863.78	06/15/20	920.08	56.30 W	0.00	13 of 18 - Sale ²⁵
	3,321.000	2,556.71	06/15/20	2,723.34	166.63 W	0.00	14 of 18 - Sale ²⁵
	4,917.000	3,785.42	06/15/20	4,032.11	246.69 W	0.00	15 of 18 - Sale ²⁵
	4,231.000	3,257.29	06/15/20	3,469.57	212.28 W	0.00	16 of 18 - Sale ²⁵
	6,848.000	5,272.03	06/15/20	5,615.61	343.58 W	0.00	17 of 18 - Sale ²⁵
	130.000	100.08	06/15/20	106.60	6.52 W	0.00	18 of 18 - Sale ²⁵
06/15/20	60,947.000	46,125.29	Various	49,336.05	3,210.76 W	0.00	Total of 18 transactions
	13 transactions for 06/16/20. Total proceeds and cost reported to the IRS.						
	41.000	35.26	06/15/20	33.62	...	1.64	1 of 13 - Sale ²⁵
	59.000	50.73	06/15/20	48.39	...	2.34	2 of 13 - Sale ²⁵
	319.000	274.68	06/15/20	261.63	...	13.05	3 of 13 - Sale ²⁵
	400.000	343.95	06/15/20	327.98	...	15.97	4 of 13 - Sale ²⁵
	666.000	572.67	06/15/20	546.15	...	26.52	5 of 13 - Sale ²⁵
	759.000	652.64	06/15/20	622.41	...	30.23	6 of 13 - Sale ²⁵
	1,122.000	966.11	06/15/20	920.24	...	45.87	7 of 13 - Sale ²⁵
	1,200.000	1,031.83	06/15/20	984.04	...	47.79	8 of 13 - Sale ²⁵
	1,600.000	1,375.78	06/15/20	1,311.74	...	64.04	9 of 13 - Sale ²⁵
	1,886.000	1,623.95	06/15/20	1,546.85	...	77.10	10 of 13 - Sale ²⁵
	2,000.000	1,719.72	06/15/20	1,639.67	...	80.05	11 of 13 - Sale ²⁵
	2,600.000	2,235.64	06/15/20	2,131.83	...	103.81	12 of 13 - Sale ²⁵
	3,013.000	2,590.76	06/15/20	2,470.17	...	120.59	13 of 13 - Sale ²⁵
06/16/20	15,665.000	13,473.72	Various	12,844.72	...	629.00	Total of 13 transactions
	5 transactions for 06/16/20. Total proceeds and cost reported to the IRS.						
	159.000	136.72	06/15/20	138.10	1.38 W	0.00	1 of 5 - Sale ²⁵
	1,600.000	1,375.77	06/15/20	1,389.72	13.95 W	0.00	2 of 5 - Sale ²⁵
	572.000	491.84	06/15/20	496.82	4.98 W	0.00	3 of 5 - Sale ²⁵
	128.000	110.06	06/15/20	111.18	1.12 W	0.00	4 of 5 - Sale ²⁵

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(continued)

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NOVAN, INC. COMMON STOCK / CUSIP: 66988N106 / Symbol: (cont'd)							
06/16/20	928.000	797.95	06/15/20	806.03	8.08 W	0.00	5 of 5 - Sale ²⁵
	3,387.000	2,912.34	Various	2,941.85	29.51 W	0.00	Total of 5 transactions
	11 transactions for 06/18/20. Total proceeds and cost reported to the IRS.						
	1.000	0.49	06/15/20	0.82	0.33 W	0.00	1 of 11 - Sale ²⁵
	1,434.000	702.47	06/16/20	1,154.62	452.15 W	0.00	2 of 11 - Sale ²⁵
	57.000	27.92	06/16/20	45.89	17.97 W	0.00	3 of 11 - Sale ²⁵
	4,917.000	2,408.70	06/16/20	3,959.03	1,550.33 W	0.00	4 of 11 - Sale ²⁵
	100.000	48.99	06/16/20	80.52	31.53 W	0.00	5 of 11 - Sale ²⁵
	300.000	146.96	06/16/20	241.55	94.59 W	0.00	6 of 11 - Sale ²⁵
	1,352.000	662.30	06/16/20	1,088.59	426.29 W	0.00	7 of 11 - Sale ²⁵
	2,422.000	1,186.47	06/16/20	1,950.13	763.66 W	0.00	8 of 11 - Sale ²⁵
	6,418.000	3,143.98	06/16/20	5,167.60	2,023.62 W	0.00	9 of 11 - Sale ²⁵
	49.000	24.00	06/16/20	40.13	16.13 W	0.00	10 of 11 - Sale ²⁵
	210.000	102.88	06/16/20	172.23	69.35 W	0.00	11 of 11 - Sale ²⁵
06/18/20	17,260.000	8,455.16	Various	13,901.11	5,445.95 W	0.00	Total of 11 transactions
	2 transactions for 06/23/20. Total proceeds and cost reported to the IRS.						
	3,349.000	1,637.21	06/19/20	2,760.26	...	-1,123.05	1 of 2 - Sale ²⁵
	488.000	238.57	06/19/20	402.21	...	-163.64	2 of 2 - Sale ²⁵
06/23/20	3,837.000	1,875.78	Various	3,162.47	...	-1,286.69	Total of 2 transactions
	63 transactions for 06/23/20. Total proceeds and cost reported to the IRS.						
	1.000	0.48	06/16/20	0.82	0.34 W	0.00	1 of 63 - Sale ²⁵
	1,856.000	883.22	06/19/20	1,529.73	406.16 W	-240.35	2 of 63 - Sale ²⁵
	30.000	14.28	06/19/20	16.56	2.28 W	0.00	3 of 63 - Sale ²⁵
	170.000	80.91	06/19/20	93.89	12.98 W	0.00	4 of 63 - Sale ²⁵
	50.000	23.80	06/19/20	25.64	1.84 W	0.00	5 of 63 - Sale ²⁵
	100.000	47.60	06/19/20	55.42	7.82 W	0.00	6 of 63 - Sale ²⁵
	5.000	2.38	06/19/20	2.56	0.18 W	0.00	7 of 63 - Sale ²⁵
	145.000	69.01	06/19/20	74.34	5.33 W	0.00	8 of 63 - Sale ²⁵
	800.000	380.77	06/19/20	412.42	31.65 W	0.00	9 of 63 - Sale ²⁵
	281.000	133.75	06/19/20	144.86	11.11 W	0.00	10 of 63 - Sale ²⁵
	41.000	19.57	06/19/20	21.14	1.57 W	0.00	11 of 63 - Sale ²⁵
	159.000	75.89	06/19/20	81.96	6.07 W	0.00	12 of 63 - Sale ²⁵
	319.000	152.27	06/19/20	164.45	12.18 W	0.00	13 of 63 - Sale ²⁵

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NOVAN, INC. COMMON STOCK / CUSIP: 66988N106 / Symbol: (cont'd)							
100.000		47.73	06/19/20	51.55	3.82 W	0.00	14 of 63 - Sale ²⁵
181.000		86.40	06/19/20	93.31	6.91 W	0.00	15 of 63 - Sale ²⁵
128.000		60.91	06/19/20	65.99	5.08 W	0.00	16 of 63 - Sale ²⁵
241.000		114.69	06/19/20	124.24	9.55 W	0.00	17 of 63 - Sale ²⁵
250.000		118.97	06/19/20	128.87	9.90 W	0.00	18 of 63 - Sale ²⁵
100.000		47.59	06/19/20	51.55	3.96 W	0.00	19 of 63 - Sale ²⁵
1.000		0.48	06/19/20	0.84	0.36 W	0.00	20 of 63 - Sale ²⁵
212.000		100.88	06/19/20	174.29	73.41 W	0.00	21 of 63 - Sale ²⁵
68.000		32.36	06/19/20	35.05	2.69 W	0.00	22 of 63 - Sale ²⁵
519.000		246.97	06/19/20	267.55	20.58 W	0.00	23 of 63 - Sale ²⁵
100.000		47.59	06/19/20	82.21	34.62 W	0.00	24 of 63 - Sale ²⁵
200.000		95.17	06/19/20	164.86	69.69 W	0.00	25 of 63 - Sale ²⁵
200.000		95.17	06/19/20	164.86	69.69 W	0.00	26 of 63 - Sale ²⁵
200.000		95.17	06/19/20	164.86	69.69 W	0.00	27 of 63 - Sale ²⁵
200.000		95.18	06/19/20	164.86	69.68 W	0.00	28 of 63 - Sale ²⁵
200.000		95.17	06/19/20	164.86	69.69 W	0.00	29 of 63 - Sale ²⁵
78.000		37.12	06/19/20	64.29	27.17 W	0.00	30 of 63 - Sale ²⁵
122.000		58.06	06/19/20	100.57	42.51 W	0.00	31 of 63 - Sale ²⁵
200.000		95.17	06/19/20	164.84	69.67 W	0.00	32 of 63 - Sale ²⁵
200.000		95.18	06/19/20	164.86	69.68 W	0.00	33 of 63 - Sale ²⁵
180.000		85.65	06/19/20	148.34	62.69 W	0.00	34 of 63 - Sale ²⁵
20.000		9.52	06/19/20	16.48	6.96 W	0.00	35 of 63 - Sale ²⁵
200.000		95.17	06/19/20	164.86	69.69 W	0.00	36 of 63 - Sale ²⁵
200.000		95.17	06/19/20	164.86	69.69 W	0.00	37 of 63 - Sale ²⁵
200.000		95.17	06/19/20	164.84	69.67 W	0.00	38 of 63 - Sale ²⁵
200.000		95.17	06/19/20	164.84	69.67 W	0.00	39 of 63 - Sale ²⁵
200.000		95.18	06/19/20	164.84	69.66 W	0.00	40 of 63 - Sale ²⁵
100.000		47.59	06/19/20	82.43	34.84 W	0.00	41 of 63 - Sale ²⁵
100.000		47.59	06/19/20	82.43	34.84 W	0.00	42 of 63 - Sale ²⁵
200.000		95.17	06/19/20	164.84	69.67 W	0.00	43 of 63 - Sale ²⁵
200.000		95.17	06/19/20	164.84	69.67 W	0.00	44 of 63 - Sale ²⁵
200.000		95.18	06/19/20	164.84	69.66 W	0.00	45 of 63 - Sale ²⁵
100.000		47.59	06/19/20	82.42	34.83 W	0.00	46 of 63 - Sale ²⁵
100.000		47.59	06/19/20	82.42	34.83 W	0.00	47 of 63 - Sale ²⁵

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NOVAN, INC. COMMON STOCK / CUSIP: 66988N106 / Symbol: (cont'd)							
	115.000	54.72	06/19/20	94.78	40.06 W	0.00	48 of 63 - Sale ²⁵
	100.000	47.59	06/19/20	82.42	34.83 W	0.00	49 of 63 - Sale ²⁵
	329.000	156.56	06/19/20	271.16	114.60 W	0.00	50 of 63 - Sale ²⁵
	12.000	5.71	06/19/20	9.89	4.18 W	0.00	51 of 63 - Sale ²⁵
	150.000	71.38	06/19/20	123.63	52.25 W	0.00	52 of 63 - Sale ²⁵
	1,500.000	713.80	06/19/20	1,236.31	522.51 W	0.00	53 of 63 - Sale ²⁵
	2.000	0.95	06/19/20	1.65	0.70 W	0.00	54 of 63 - Sale ²⁵
	57.000	27.13	06/19/20	46.98	19.85 W	0.00	55 of 63 - Sale ²⁵
	100.000	47.59	06/19/20	82.42	34.83 W	0.00	56 of 63 - Sale ²⁵
	300.000	142.76	06/19/20	247.26	104.50 W	0.00	57 of 63 - Sale ²⁵
	512.000	243.65	06/19/20	421.99	178.34 W	0.00	58 of 63 - Sale ²⁵
	31.000	14.75	06/19/20	25.55	10.80 W	0.00	59 of 63 - Sale ²⁵
	690.000	328.36	06/19/20	568.70	240.34 W	0.00	60 of 63 - Sale ²⁵
	150.000	71.38	06/19/20	123.63	52.25 W	0.00	61 of 63 - Sale ²⁵
	39.000	18.56	06/19/20	32.14	13.58 W	0.00	62 of 63 - Sale ²⁵
	39.000	18.56	06/19/20	32.14	13.58 W	0.00	63 of 63 - Sale ²⁵
06/23/20	13,783.000	6,560.25	Various	10,232.03	3,431.43 W	-240.35	Total of 63 transactions
	66 transactions for 06/25/20. Total proceeds and cost reported to the IRS.						
	1.000	0.50	06/19/20	0.82	...	-0.32	1 of 66 - Sale ²⁵
	857.000	424.10	06/23/20	732.14	...	-308.04	2 of 66 - Sale ²⁵
	700.000	349.91	06/23/20	598.01	...	-248.10	3 of 66 - Sale ²⁵
	566.000	280.10	06/23/20	483.54	...	-203.44	4 of 66 - Sale ²⁵
	352.000	173.85	06/23/20	300.71	...	-126.86	5 of 66 - Sale ²⁵
	243.000	121.46	06/23/20	207.59	...	-86.13	6 of 66 - Sale ²⁵
	200.000	98.77	06/23/20	177.49	...	-78.72	7 of 66 - Sale ²⁵
	200.000	98.77	06/23/20	177.49	...	-78.72	8 of 66 - Sale ²⁵
	200.000	98.77	06/23/20	177.49	...	-78.72	9 of 66 - Sale ²⁵
	200.000	98.77	06/23/20	177.49	...	-78.72	10 of 66 - Sale ²⁵
	200.000	98.77	06/23/20	177.49	...	-78.72	11 of 66 - Sale ²⁵
	200.000	98.77	06/23/20	177.47	...	-78.70	12 of 66 - Sale ²⁵
	200.000	98.78	06/23/20	177.47	...	-78.69	13 of 66 - Sale ²⁵
	198.000	97.79	06/23/20	175.71	...	-77.92	14 of 66 - Sale ²⁵
	200.000	98.78	06/23/20	170.86	...	-72.08	15 of 66 - Sale ²⁵
	180.000	88.90	06/23/20	159.71	...	-70.81	16 of 66 - Sale ²⁵

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Robinhood Securities LLC

Account 148354244

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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NOVAN, INC. COMMON STOCK / CUSIP: 66988N106 / Symbol: (cont'd)							
616.000		304.21	06/23/20	356.40	...	-52.19	17 of 66 - Sale ²⁵
128.000		63.22	06/23/20	113.59	...	-50.37	18 of 66 - Sale ²⁵
128.000		63.22	06/23/20	113.59	...	-50.37	19 of 66 - Sale ²⁵
128.000		63.21	06/23/20	113.58	...	-50.37	20 of 66 - Sale ²⁵
132.000		65.19	06/23/20	114.74	...	-49.55	21 of 66 - Sale ²⁵
122.000		60.25	06/23/20	108.27	...	-48.02	22 of 66 - Sale ²⁵
121.000		59.76	06/23/20	107.12	...	-47.36	23 of 66 - Sale ²⁵
491.000		242.49	06/23/20	284.12	...	-41.63	24 of 66 - Sale ²⁵
100.000		49.39	06/23/20	88.52	...	-39.13	25 of 66 - Sale ²⁵
91.000		44.94	06/23/20	80.56	...	-35.62	26 of 66 - Sale ²⁵
100.000		49.99	06/23/20	85.43	...	-35.44	27 of 66 - Sale ²⁵
78.000		38.52	06/23/20	69.21	...	-30.69	28 of 66 - Sale ²⁵
78.000		38.52	06/23/20	67.80	...	-29.28	29 of 66 - Sale ²⁵
72.000		35.56	06/23/20	63.89	...	-28.33	30 of 66 - Sale ²⁵
72.000		35.56	06/23/20	63.89	...	-28.33	31 of 66 - Sale ²⁵
72.000		35.56	06/23/20	63.89	...	-28.33	32 of 66 - Sale ²⁵
71.000		35.07	06/23/20	63.00	...	-27.93	33 of 66 - Sale ²⁵
250.000		123.47	06/23/20	144.65	...	-21.18	34 of 66 - Sale ²⁵
170.000		83.96	06/23/20	104.61	...	-20.65	35 of 66 - Sale ²⁵
241.000		119.02	06/23/20	139.45	...	-20.43	36 of 66 - Sale ²⁵
49.000		24.20	06/23/20	42.54	...	-18.34	37 of 66 - Sale ²⁵
50.000		24.75	06/23/20	42.72	...	-17.97	38 of 66 - Sale ²⁵
212.000		104.70	06/23/20	122.36	...	-17.66	39 of 66 - Sale ²⁵
157.000		77.54	06/23/20	90.83	...	-13.29	40 of 66 - Sale ²⁵
159.000		78.53	06/23/20	91.77	...	-13.24	41 of 66 - Sale ²⁵
100.000		49.39	06/23/20	61.72	...	-12.33	42 of 66 - Sale ²⁵
145.000		71.61	06/23/20	83.48	...	-11.87	43 of 66 - Sale ²⁵
109.000		53.83	06/23/20	63.06	...	-9.23	44 of 66 - Sale ²⁵
109.000		53.83	06/23/20	62.91	...	-9.08	45 of 66 - Sale ²⁵
107.000		52.85	06/23/20	61.76	...	-8.91	46 of 66 - Sale ²⁵
100.000		49.39	06/23/20	57.72	...	-8.33	47 of 66 - Sale ²⁵
20.000		9.88	06/23/20	17.74	...	-7.86	48 of 66 - Sale ²⁵
88.000		43.46	06/23/20	50.91	...	-7.45	49 of 66 - Sale ²⁵
84.000		41.48	06/23/20	48.60	...	-7.12	50 of 66 - Sale ²⁵

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(continued)

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NOVAN, INC. COMMON STOCK / CUSIP: 66988N106 / Symbol: (cont'd)							
	72.000	35.56	06/23/20	41.66	...	-6.10	51 of 66 - Sale ²⁵
	71.000	35.07	06/23/20	41.09	...	-6.02	52 of 66 - Sale ²⁵
	72.000	35.56	06/23/20	41.56	...	-6.00	53 of 66 - Sale ²⁵
	68.000	33.58	06/23/20	39.34	...	-5.76	54 of 66 - Sale ²⁵
	57.000	28.15	06/23/20	32.98	...	-4.83	55 of 66 - Sale ²⁵
	50.000	24.70	06/23/20	28.79	...	-4.09	56 of 66 - Sale ²⁵
	30.000	14.82	06/23/20	18.45	...	-3.63	57 of 66 - Sale ²⁵
	41.000	20.25	06/23/20	23.67	...	-3.42	58 of 66 - Sale ²⁵
	28.000	13.83	06/23/20	16.20	...	-2.37	59 of 66 - Sale ²⁵
	28.000	13.83	06/23/20	16.20	...	-2.37	60 of 66 - Sale ²⁵
	15.000	7.41	06/23/20	8.68	...	-1.27	61 of 66 - Sale ²⁵
	12.000	5.93	06/23/20	6.94	...	-1.01	62 of 66 - Sale ²⁵
	2.000	0.99	06/23/20	1.78	...	-0.79	63 of 66 - Sale ²⁵
	5.000	2.47	06/23/20	2.88	...	-0.41	64 of 66 - Sale ²⁵
	1.000	0.49	06/23/20	0.90	...	-0.41	65 of 66 - Sale ²⁵
	1.000	0.49	06/23/20	0.88	...	-0.39	66 of 66 - Sale ²⁵
06/25/20	10,000.000	4,946.47	Various	7,637.91	...	-2,691.44	Total of 66 transactions
	35 transactions for 06/26/20. Total proceeds and cost reported to the IRS.						
	1,166.000	531.55	06/23/20	1,034.63	...	-503.08	1 of 35 - Sale ²⁵
	1,165.000	531.09	06/23/20	1,033.75	...	-502.66	2 of 35 - Sale ²⁵
	512.000	233.41	06/23/20	454.31	...	-220.90	3 of 35 - Sale ²⁵
	384.000	175.05	06/23/20	340.72	...	-165.67	4 of 35 - Sale ²⁵
	329.000	149.98	06/23/20	291.93	...	-141.95	5 of 35 - Sale ²⁵
	314.000	143.14	06/23/20	278.63	...	-135.49	6 of 35 - Sale ²⁵
	306.000	139.50	06/23/20	271.52	...	-132.02	7 of 35 - Sale ²⁵
	300.000	136.76	06/23/20	266.20	...	-129.44	8 of 35 - Sale ²⁵
	200.000	91.17	06/23/20	177.46	...	-86.29	9 of 35 - Sale ²⁵
	150.000	68.38	06/23/20	133.10	...	-64.72	10 of 35 - Sale ²⁵
	150.000	68.38	06/23/20	133.10	...	-64.72	11 of 35 - Sale ²⁵
	129.000	58.81	06/23/20	114.47	...	-55.66	12 of 35 - Sale ²⁵
	127.000	57.99	06/23/20	112.69	...	-54.70	13 of 35 - Sale ²⁵
	115.000	52.43	06/23/20	102.05	...	-49.62	14 of 35 - Sale ²⁵
	100.000	45.59	06/23/20	88.73	...	-43.14	15 of 35 - Sale ²⁵
	100.000	45.59	06/23/20	88.73	...	-43.14	16 of 35 - Sale ²⁵

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(continued)

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NOVAN, INC. COMMON STOCK / CUSIP: 66988N106 / Symbol: (cont'd)							
	100.000	45.59	06/23/20	88.73	...	-43.14	17 of 35 - Sale ²⁵
	100.000	45.67	06/23/20	88.74	...	-43.07	18 of 35 - Sale ²⁵
	71.000	32.43	06/23/20	63.01	...	-30.58	19 of 35 - Sale ²⁵
	71.000	32.43	06/23/20	63.01	...	-30.58	20 of 35 - Sale ²⁵
	71.000	32.43	06/23/20	63.00	...	-30.57	21 of 35 - Sale ²⁵
	71.000	32.43	06/23/20	63.00	...	-30.57	22 of 35 - Sale ²⁵
	57.000	25.98	06/23/20	50.57	...	-24.59	23 of 35 - Sale ²⁵
	57.000	25.98	06/23/20	50.57	...	-24.59	24 of 35 - Sale ²⁵
	43.000	19.60	06/23/20	38.16	...	-18.56	25 of 35 - Sale ²⁵
	39.000	17.78	06/23/20	34.60	...	-16.82	26 of 35 - Sale ²⁵
	39.000	17.78	06/23/20	34.60	...	-16.82	27 of 35 - Sale ²⁵
	31.000	14.13	06/23/20	27.51	...	-13.38	28 of 35 - Sale ²⁵
	29.000	13.24	06/23/20	25.73	...	-12.49	29 of 35 - Sale ²⁵
	29.000	13.24	06/23/20	25.73	...	-12.49	30 of 35 - Sale ²⁵
	29.000	13.24	06/23/20	25.73	...	-12.49	31 of 35 - Sale ²⁵
	20.000	9.12	06/23/20	17.75	...	-8.63	32 of 35 - Sale ²⁵
	12.000	5.47	06/23/20	10.65	...	-5.18	33 of 35 - Sale ²⁵
	2.000	0.91	06/23/20	1.78	...	-0.87	34 of 35 - Sale ²⁵
	2.000	0.91	06/23/20	1.77	...	-0.86	35 of 35 - Sale ²⁵
06/26/20	6,420.000	2,927.18	Various	5,696.66	...	-2,769.48	Total of 35 transactions
11/12/20	1.000	0.48	06/23/20	0.89	...	-0.41	Sale ²⁵
	Security total:	119,711.63		137,753.69	12,117.65 W	-5,924.41	
PELTON INTERACTIVE, INC. CLAS S A COMMON STOCK / CUSIP: 70614W100 / Symbol:							
11/06/20	7.000	900.88	11/06/20	897.33	...	3.55	Sale ²⁵
11/23/20	0.801	88.63	11/06/20	102.67	...	-14.04	Sale ²⁵
	Security total:	989.51		1,000.00	...	-10.49	
PHIO PHARMACEUTICALS CORP. COM MON STOCK / CUSIP: 71880W303 / Symbol:							
4 transactions for 05/29/20. Total proceeds and cost reported to the IRS.							
	200.000	915.96	05/29/20	920.00	...	-4.04	1 of 4 - Sale ²⁵
	1.000	3.70	05/29/20	4.62	...	-0.92	2 of 4 - Sale ²⁵
	44.000	201.51	05/29/20	202.40	...	-0.89	3 of 4 - Sale ²⁵

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PHIO PHARMACEUTICALS CORP. COM MON STOCK / CUSIP: 71880W303 / Symbol: (cont'd)							
	200.000	915.95	05/29/20	890.00	...	25.95	4 of 4 - Sale ²⁵
05/29/20	445.000	2,037.12	Various	2,017.02	...	20.10	Total of 4 transactions
05/29/20	200.000	915.95	05/29/20	920.00	0.02 W	-4.03	Sale ²⁵
	Security total:	2,953.07		2,937.02	0.02 W	16.07	
PLURALSIGHT, INC. CLASS A COMM ON STOCK / CUSIP: 72941B106 / Symbol:							
11/11/20	70.000	1,082.86	11/10/20	1,063.29	...	19.57	Sale ²⁵
POWER INTEGRATIONS, INC. COMMO N STOCK / CUSIP: 739276103 / Symbol:							
2 transactions for 05/13/20. Total proceeds and cost reported to the IRS.							
	4.000	410.02	02/14/20	429.20	...	-19.18	1 of 2 - Sale ²⁵
	1.000	102.51	02/18/20	104.50	...	-1.99	2 of 2 - Sale ²⁵
05/13/20	5.000	512.53	Various	533.70	...	-21.17	Total of 2 transactions
PRECIPIO, INC. COMMON STOCK / CUSIP: 74019L503 / Symbol:							
11/03/20	122.000	250.36	07/30/20	952.82	...	-702.46	Sale ²⁵
PROSHARES ULTRA VIX SHORT-TERM FUTURES ETF / CUSIP: 74347W148 / Symbol:							
06/11/20	199.000	8,674.19	06/11/20	9,360.96	...	-686.77	Sale ²⁵
06/12/20	1.000	43.84	06/11/20	47.04	...	-3.20	Sale ²⁵
11/25/20	73.000	864.29	11/10/20	994.99	29.80 W	-100.90	Sale ²⁵
	Security total:	9,582.32		10,402.99	29.80 W	-790.87	
PROSHARES ULTRAPRO QQQ / CUSIP: 74347X831 / Symbol:							
3 transactions for 06/12/20. Total proceeds and cost reported to the IRS.							
	100.000	8,861.80	06/12/20	8,892.00	...	-30.20	1 of 3 - Sale ²⁵
	100.000	8,861.80	06/12/20	8,892.00	...	-30.20	2 of 3 - Sale ²⁵
	100.000	8,861.80	06/12/20	8,892.00	...	-30.20	3 of 3 - Sale ²⁵
06/12/20	300.000	26,585.40	Various	26,676.00	...	-90.60	Total of 3 transactions
REMARK HOLDINGS, INC. COMMON S TOCK / CUSIP: 75955K102 / Symbol:							
4 transactions for 06/04/20. Total proceeds and cost reported to the IRS.							
	100.000	296.49	06/04/20	311.36	...	-14.87	1 of 4 - Sale ²⁵
	8.503	25.26	06/04/20	27.70	...	-2.44	2 of 4 - Sale ²⁵
	11.960	35.52	06/04/20	37.24	...	-1.72	3 of 4 - Sale ²⁵

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REMARK HOLDINGS, INC. COMMON S TOCK / CUSIP: 75955K102 / Symbol: (cont'd)							
	1.537	4.56	06/04/20	5.00	...	-0.44	4 of 4 - Sale ²⁵
06/04/20	122.000	361.83	Various	381.30	...	-19.47	Total of 4 transactions
	2 transactions for 06/04/20. Total proceeds and cost reported to the IRS.						
	100.000	296.99	06/04/20	311.36	1.22 W	-13.15	1 of 2 - Sale ²⁵
	1.537	4.56	06/04/20	4.78	0.22 W	0.00	2 of 2 - Sale ²⁵
06/04/20	101.537	301.55	Various	316.14	1.44 W	-13.15	Total of 2 transactions
	Security total:	663.38		697.44	1.44 W	-32.62	
ROCHE HOLDINGS AG BASEL AMERIC AN DEPOSITARY SHARES / CUSIP: 771195104 / Symbol:							
	2 transactions for 04/21/20. Total proceeds and cost reported to the IRS.						
	14.000	604.92	03/23/20	504.00	...	100.92	1 of 2 - Sale ²⁵
	85.000	3,672.76	03/23/20	3,060.00	...	612.76	2 of 2 - Sale ²⁵
04/21/20	99.000	4,277.68	Various	3,564.00	...	713.68	Total of 2 transactions
	2 transactions for 05/19/20. Total proceeds and cost reported to the IRS.						
	1.000	45.00	03/23/20	36.00	...	9.00	1 of 2 - Sale ²⁵
	98.000	4,409.89	04/23/20	4,340.42	...	69.47	2 of 2 - Sale ²⁵
05/19/20	99.000	4,454.89	Various	4,376.42	...	78.47	Total of 2 transactions
05/27/20	1.000	43.01	04/23/20	44.29	...	-1.28	Sale ²⁵
	Security total:	8,775.58		7,984.71	...	790.87	
ROKU, INC. CLASS A COMMON STOC K / CUSIP: 77543R102 / Symbol:							
11/09/20	12.000	2,778.89	11/05/20	2,796.00	...	-17.11	Sale ²⁵
SPDR S&P KENSHO SMART MOBILITY ETF / CUSIP: 78468R689 / Symbol:							
	2 transactions for 11/13/20. Total proceeds and cost reported to the IRS.						
	0.042	1.95	11/09/20	1.92	...	0.03	1 of 2 - Sale ²⁵
	26.000	1,213.74	11/09/20	1,198.08	...	15.66	2 of 2 - Sale ²⁵
11/13/20	26.042	1,215.69	Various	1,200.00	...	15.69	Total of 2 transactions
SALESFORCE.COM, INC. / CUSIP: 79466L302 / Symbol:							
05/13/20	5.000	875.63	02/05/20	923.72	...	-48.09	Sale ²⁵

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SECOO HOLDING LIMITED ADR / CUSIP: 81367P101 / Symbol:							
<i>4 transactions for 06/03/20. Total proceeds and cost reported to the IRS.</i>							
	247.000	1,037.35	06/03/20	1,113.97	...	-76.62	1 of 4 - Sale ²⁵
	100.881	423.68	06/03/20	454.97	...	-31.29	2 of 4 - Sale ²⁵
	25.119	105.49	06/03/20	113.29	...	-7.80	3 of 4 - Sale ²⁵
	0.394	1.26	06/03/20	1.89	...	-0.63	4 of 4 - Sale ²⁵
06/03/20	373.394	1,567.78	Various	1,684.12	...	-116.34	Total of 4 transactions
06/03/20	200.000	839.95	06/03/20	902.00	0.12 W	-61.93	Sale ²⁵
	Security total:	2,407.73		2,586.12	0.12 W	-178.27	
TECHNOLOGY SELECT SECTOR SPDR FUND / CUSIP: 81369Y803 / Symbol:							
05/13/20	10.000	930.67	02/13/20	1,011.40	...	-80.73	Sale ²⁵
SORRENTO THERAPEUTICS, INC. C OMMON STOCK / CUSIP: 83587F202 / Symbol:							
<i>2 transactions for 06/11/20. Total proceeds and cost reported to the IRS.</i>							
	25.402	116.84	06/03/20	108.97	...	7.87	1 of 2 - Sale ²⁵
	518.667	2,385.79	06/03/20	2,225.03	...	160.76	2 of 2 - Sale ²⁵
06/11/20	544.068	2,502.63	Various	2,334.00	...	168.63	Total of 2 transactions
<i>6 transactions for 06/11/20. Total proceeds and cost reported to the IRS.</i>							
	100.000	459.99	05/18/20	835.00	375.01 W	0.00	1 of 6 - Sale ²⁵
	150.000	689.98	05/18/20	1,030.50	340.52 W	0.00	2 of 6 - Sale ²⁵
	265.000	1,218.97	05/26/20	1,385.95	166.98 W	0.00	3 of 6 - Sale ²⁵
	62.869	289.19	05/26/20	328.80	39.61 W	0.00	4 of 6 - Sale ²⁵
	16.300	74.98	05/26/20	85.25	10.27 W	0.00	5 of 6 - Sale ²⁵
	264.763	1,217.88	06/08/20	1,249.68	31.80 W	0.00	6 of 6 - Sale ²⁵
06/11/20	858.932	3,950.99	Various	4,915.18	964.19 W	0.00	Total of 6 transactions
06/25/20	25.000	159.24	06/25/20	186.49	...	-27.25	Sale ²⁵
<i>5 transactions for 06/25/20. Total proceeds and cost reported to the IRS.</i>							
	0.237	1.51	06/08/20	2.01	0.50 W	0.00	1 of 5 - Sale ²⁵
	40.000	254.79	06/23/20	345.95	91.16 W	0.00	2 of 5 - Sale ²⁵
	265.000	1,687.98	06/25/20	1,976.85	175.84 W	-113.03	3 of 5 - Sale ²⁵
	59.763	380.67	06/25/20	632.28	251.61 W	0.00	4 of 5 - Sale ²⁵
	150.000	955.46	06/25/20	1,364.98	409.52 W	0.00	5 of 5 - Sale ²⁵
06/25/20	515.000	3,280.41	Various	4,322.07	928.63 W	-113.03	Total of 5 transactions

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Account 148354244

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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SORRENTO THERAPEUTICS, INC. C OMMON STOCK / CUSIP: 83587F202 / Symbol: (cont'd)							
<i>4 transactions for 06/26/20. Total proceeds and cost reported to the IRS.</i>							
	75.831	433.07	06/25/20	481.54	...	-48.47	1 of 4 - Sale ²⁵
	37.632	214.92	06/25/20	258.15	...	-43.23	2 of 4 - Sale ²⁵
	16.300	93.09	06/25/20	111.82	...	-18.73	3 of 4 - Sale ²⁵
	0.237	1.35	06/25/20	1.77	...	-0.42	4 of 4 - Sale ²⁵
06/26/20	130.000	742.43	Various	853.28	...	-110.85	Total of 4 transactions
<i>8 transactions for 07/02/20. Total proceeds and cost reported to the IRS.</i>							
	0.237	1.58	06/25/20	1.51	...	0.07	1 of 8 - Sale ²⁵
	150.000	995.98	07/01/20	1,453.52	...	-457.54	2 of 8 - Sale ²⁵
	59.763	396.81	07/01/20	667.56	...	-270.75	3 of 8 - Sale ²⁵
	161.305	1,071.04	07/01/20	1,298.53	...	-227.49	4 of 8 - Sale ²⁵
	40.000	265.59	07/01/20	369.56	...	-103.97	5 of 8 - Sale ²⁵
	100.000	663.98	07/01/20	708.01	...	-44.03	6 of 8 - Sale ²⁵
	88.457	587.34	07/01/20	626.28	...	-38.94	7 of 8 - Sale ²⁵
	0.237	1.58	07/01/20	2.15	...	-0.57	8 of 8 - Sale ²⁵
07/02/20	600.000	3,983.90	Various	5,127.12	...	-1,143.22	Total of 8 transactions
<i>4 transactions for 11/04/20. Total proceeds and cost reported to the IRS.</i>							
	0.237	1.73	07/01/20	1.68	...	0.05	1 of 4 - Sale ²⁵
	100.000	727.97	09/17/20	1,002.99	...	-275.02	2 of 4 - Sale ²⁵
	100.000	727.97	09/17/20	1,002.99	...	-275.02	3 of 4 - Sale ²⁵
	99.763	726.24	09/17/20	1,000.61	...	-274.37	4 of 4 - Sale ²⁵
11/04/20	300.000	2,183.91	Various	3,008.27	...	-824.36	Total of 4 transactions
<i>2 transactions for 11/05/20. Total proceeds and cost reported to the IRS.</i>							
	150.000	1,067.95	09/17/20	1,504.48	...	-436.53	1 of 2 - Sale ²⁵
	50.000	356.00	09/17/20	501.50	...	-145.50	2 of 2 - Sale ²⁵
11/05/20	200.000	1,423.95	Various	2,005.98	...	-582.03	Total of 2 transactions
11/23/20	0.237	1.71	09/17/20	2.38	...	-0.67	Sale ²⁵
	Security total:	18,229.17		22,754.77	1,892.82 W	-2,632.78	
SPIRIT AIRLINES, INC. / CUSIP: 848577102 / Symbol:							
06/09/20	200.000	4,598.37	06/05/20	5,110.00	...	-511.63	Sale ²⁵
SWITCHBACK ENERGY ACQUISITION CORPORATION / CUSIP: 87105M102 / Symbol:							
12/09/20	20.000	827.18	11/25/20	721.84	...	105.34	Sale ²⁵

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02/14/2021

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UNITED AIRLINES HOLDINGS, INC. COMMON STOCK / CUSIP: 910047109 / Symbol:							
06/09/20	86.000	3,858.98	06/05/20	4,042.00	...	-183.02	Sale ²⁵
UPWORK INC. COMMON STOCK / CUSIP: 91688F104 / Symbol:							
11/05/20	1.000	28.52	11/04/20	20.50	...	8.02	Sale ²⁵
URBAN ONE, INC. CLASS A COMMON STOCK / CUSIP: 91705J105 / Symbol:							
<i>5 transactions for 06/18/20. Total proceeds and cost reported to the IRS.</i>							
	100.000	3,164.92	06/18/20	2,978.00	...	186.92	1 of 5 - Sale ²⁵
	100.000	3,164.92	06/18/20	2,978.00	...	186.92	2 of 5 - Sale ²⁵
	100.000	3,164.92	06/18/20	2,978.00	...	186.92	3 of 5 - Sale ²⁵
	100.000	3,170.91	06/18/20	2,978.00	...	192.91	4 of 5 - Sale ²⁵
	200.000	6,327.84	06/18/20	5,956.00	...	371.84	5 of 5 - Sale ²⁵
06/18/20	600.000	18,993.51	Various	17,868.00	...	1,125.51	Total of 5 transactions
URBAN ONE, INC. CLASS D COMMON STOCK / CUSIP: 91705J204 / Symbol:							
<i>4 transactions for 06/18/20. Total proceeds and cost reported to the IRS.</i>							
	1,575.000	5,512.35	06/18/20	5,591.25	...	-78.90	1 of 4 - Sale ²⁵
	1,200.000	4,199.88	06/18/20	4,260.00	...	-60.12	2 of 4 - Sale ²⁵
	1,175.000	4,112.39	06/18/20	4,171.25	...	-58.86	3 of 4 - Sale ²⁵
	525.000	1,837.45	06/18/20	1,890.11	...	-52.66	4 of 4 - Sale ²⁵
06/18/20	4,475.000	15,662.07	Various	15,912.61	...	-250.54	Total of 4 transactions
06/18/20	525.000	1,837.39	06/18/20	1,863.75	26.36 W	0.00	Sale ²⁵
	Security total:	17,499.46		17,776.36	26.36 W	-250.54	
VBI VACCINES, INC. NEW COMMON STOCK (CANADA) / CUSIP: 91822J103 / Symbol:							
<i>2 transactions for 05/29/20. Total proceeds and cost reported to the IRS.</i>							
	216.000	451.41	05/15/20	453.60	...	-2.19	1 of 2 - Sale ²⁵
	83.000	173.46	05/15/20	174.30	...	-0.84	2 of 2 - Sale ²⁵
05/29/20	299.000	624.87	Various	627.90	...	-3.03	Total of 2 transactions
06/05/20	1.000	2.03	05/15/20	2.10	...	-0.07	Sale ²⁵
	Security total:	626.90		630.00	...	-3.10	

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Proceeds from Broker and Barter Exchange Transactions

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02/14/2021

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VAXART, INC COMMON STOCK / CUSIP: 92243A200 / Symbol:							
05/29/20	245.000	636.97	05/12/20	735.00	98.03 W	0.00	Sale ²⁵
06/25/20	125.000	562.47	06/25/20	553.12	...	9.35	Sale ²⁵
	2 transactions for 06/25/20. Total proceeds and cost reported to the IRS.						
	100.000	449.99	06/25/20	482.51	32.52 W	0.00	1 of 2 - Sale ²⁵
	145.000	652.47	06/25/20	699.65	47.18 W	0.00	2 of 2 - Sale ²⁵
06/25/20	245.000	1,102.46	Various	1,182.16	79.70 W	0.00	Total of 2 transactions
	5 transactions for 11/19/20. Total proceeds and cost reported to the IRS.						
	145.000	829.36	06/25/20	1,163.68	...	-334.32	1 of 5 - Sale ²⁵
	155.000	886.56	06/25/20	1,193.50	...	-306.94	2 of 5 - Sale ²⁵
	80.000	457.58	06/25/20	642.02	...	-184.44	3 of 5 - Sale ²⁵
	50.000	286.25	06/25/20	385.00	...	-98.75	4 of 5 - Sale ²⁵
	20.000	114.39	06/25/20	160.50	...	-46.11	5 of 5 - Sale ²⁵
11/19/20	450.000	2,574.14	Various	3,544.70	...	-970.56	Total of 5 transactions
11/24/20	199.000	1,285.79	06/25/20	1,532.30	...	-246.51	Sale ²⁵
	Security total:	6,161.83		7,547.28	177.73 W	-1,207.72	
VISLINK TECHNOLOGIES, INC. COM MON STOCK / CUSIP: 92836Y201 / Symbol:							
	4 transactions for 06/04/20. Total proceeds and cost reported to the IRS.						
	300.000	301.46	06/04/20	306.00	...	-4.54	1 of 4 - Sale ²⁵
	200.000	200.98	06/04/20	204.00	...	-3.02	2 of 4 - Sale ²⁵
	119.000	119.59	06/04/20	121.38	...	-1.79	3 of 4 - Sale ²⁵
	100.000	100.49	06/04/20	102.00	...	-1.51	4 of 4 - Sale ²⁵
06/04/20	719.000	722.52	Various	733.38	...	-10.86	Total of 4 transactions
ZOOM VIDEO COMMUNICATIONS, INC . CLASS A COMMON STOCK / CUSIP: 98980L101 / Symbol:							
11/23/20	10.000	4,274.09	11/18/20	4,175.00	...	99.09	Sale ²⁵
ATLAS FINL HLDGS INC ORDINARY SHARES / CUSIP: G06207115 / Symbol:							
	57 transactions for 06/17/20. Total proceeds and cost reported to the IRS.						
	1,138.000	1,445.08	06/17/20	1,667.34	...	-222.26	1 of 57 - Sale ²⁵
	3,000.000	3,779.55	06/17/20	3,975.00	...	-195.45	2 of 57 - Sale ²⁵
	1,000.000	1,269.85	06/17/20	1,465.16	...	-195.31	3 of 57 - Sale ²⁵
	929.000	1,179.69	06/17/20	1,361.12	...	-181.43	4 of 57 - Sale ²⁵
	129.000	162.52	06/17/20	275.57	...	-113.05	5 of 57 - Sale ²⁵

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ATLAS FINL HLDGS INC ORDINARY SHARES / CUSIP: G06207115 / Symbol: (cont'd)							
	429.000	544.77	06/17/20	628.55	...	-83.78	6 of 57 - Sale ²⁵
	92.000	115.91	06/17/20	196.53	...	-80.62	7 of 57 - Sale ²⁵
	91.000	114.65	06/17/20	194.39	...	-79.74	8 of 57 - Sale ²⁵
	92.000	115.90	06/17/20	185.46	...	-69.56	9 of 57 - Sale ²⁵
	92.000	115.90	06/17/20	185.46	...	-69.56	10 of 57 - Sale ²⁵
	63.000	79.37	06/17/20	142.77	...	-63.40	11 of 57 - Sale ²⁵
	300.000	377.96	06/17/20	439.55	...	-61.59	12 of 57 - Sale ²⁵
	315.000	399.99	06/17/20	458.38	...	-58.39	13 of 57 - Sale ²⁵
	300.000	380.95	06/17/20	438.04	...	-57.09	14 of 57 - Sale ²⁵
	73.000	91.97	06/17/20	147.88	...	-55.91	15 of 57 - Sale ²⁵
	73.000	91.97	06/17/20	147.15	...	-55.18	16 of 57 - Sale ²⁵
	54.000	68.03	06/17/20	122.39	...	-54.36	17 of 57 - Sale ²⁵
	62.000	78.11	06/17/20	132.43	...	-54.32	18 of 57 - Sale ²⁵
	262.000	330.07	06/17/20	383.87	...	-53.80	19 of 57 - Sale ²⁵
	275.000	349.22	06/17/20	402.92	...	-53.70	20 of 57 - Sale ²⁵
	271.000	344.13	06/17/20	397.06	...	-52.93	21 of 57 - Sale ²⁵
	800.000	1,007.87	06/17/20	1,060.00	...	-52.13	22 of 57 - Sale ²⁵
	52.000	65.51	06/17/20	111.61	...	-46.10	23 of 57 - Sale ²⁵
	200.000	251.98	06/17/20	293.03	...	-41.05	24 of 57 - Sale ²⁵
	200.000	251.98	06/17/20	293.03	...	-41.05	25 of 57 - Sale ²⁵
	200.000	251.98	06/17/20	293.03	...	-41.05	26 of 57 - Sale ²⁵
	200.000	251.98	06/17/20	293.03	...	-41.05	27 of 57 - Sale ²⁵
	200.000	251.98	06/17/20	293.03	...	-41.05	28 of 57 - Sale ²⁵
	200.000	251.98	06/17/20	293.03	...	-41.05	29 of 57 - Sale ²⁵
	52.000	65.51	06/17/20	104.84	...	-39.33	30 of 57 - Sale ²⁵
	200.000	253.98	06/17/20	293.03	...	-39.05	31 of 57 - Sale ²⁵
	44.000	55.43	06/17/20	93.98	...	-38.55	32 of 57 - Sale ²⁵
	200.000	253.98	06/17/20	291.04	...	-37.06	33 of 57 - Sale ²⁵
	171.000	217.15	06/17/20	250.54	...	-33.39	34 of 57 - Sale ²⁵
	36.000	45.35	06/17/20	72.57	...	-27.22	35 of 57 - Sale ²⁵
	400.000	503.93	06/17/20	530.00	...	-26.07	36 of 57 - Sale ²⁵
	29.000	36.53	06/17/20	58.46	...	-21.93	37 of 57 - Sale ²⁵
	26.000	32.76	06/17/20	52.40	...	-19.64	38 of 57 - Sale ²⁵
	104.000	132.07	06/17/20	151.34	...	-19.27	39 of 57 - Sale ²⁵

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ATLAS FINL HLDGS INC ORDINARY SHARES / CUSIP: G06207115 / Symbol: (cont'd)							
	96.000	121.91	06/17/20	140.66	...	-18.75	40 of 57 - Sale ²⁵
	21.000	26.46	06/17/20	45.05	...	-18.59	41 of 57 - Sale ²⁵
	24.000	30.24	06/17/20	48.38	...	-18.14	42 of 57 - Sale ²⁵
	17.000	21.42	06/17/20	36.31	...	-14.89	43 of 57 - Sale ²⁵
	15.000	18.90	06/17/20	32.05	...	-13.15	44 of 57 - Sale ²⁵
	10.000	12.60	06/17/20	22.65	...	-10.05	45 of 57 - Sale ²⁵
	10.000	12.60	06/17/20	21.36	...	-8.76	46 of 57 - Sale ²⁵
	9.000	11.34	06/17/20	19.22	...	-7.88	47 of 57 - Sale ²⁵
	100.000	125.99	06/17/20	132.50	...	-6.51	48 of 57 - Sale ²⁵
	8.000	10.08	06/17/20	16.13	...	-6.05	49 of 57 - Sale ²⁵
	8.000	10.08	06/17/20	16.12	...	-6.04	50 of 57 - Sale ²⁵
	90.000	113.38	06/17/20	119.25	...	-5.87	51 of 57 - Sale ²⁵
	6.000	7.56	06/17/20	12.09	...	-4.53	52 of 57 - Sale ²⁵
	5.000	6.30	06/17/20	10.08	...	-3.78	53 of 57 - Sale ²⁵
	4.000	5.04	06/17/20	8.54	...	-3.50	54 of 57 - Sale ²⁵
	10.000	12.60	06/17/20	15.15	...	-2.55	55 of 57 - Sale ²⁵
	2.000	2.52	06/17/20	4.03	...	-1.51	56 of 57 - Sale ²⁵
	1.000	1.26	06/17/20	2.02	...	-0.76	57 of 57 - Sale ²⁵
06/17/20	12,790.000	16,167.82	Various	18,876.60	...	-2,708.78	Total of 57 transactions
	120 transactions for 06/17/20. Total proceeds and cost reported to the IRS.						
	600.000	827.91	06/17/20	900.00	72.09 W	0.00	1 of 120 - Sale ²⁵
	73.000	100.73	06/17/20	109.50	8.77 W	0.00	2 of 120 - Sale ²⁵
	10.000	13.80	06/17/20	16.20	2.40 W	0.00	3 of 120 - Sale ²⁵
	438.000	604.37	06/17/20	709.63	105.26 W	0.00	4 of 120 - Sale ²⁵
	152.000	209.74	06/17/20	246.26	36.52 W	0.00	5 of 120 - Sale ²⁵
	448.000	618.17	06/17/20	672.00	53.83 W	0.00	6 of 120 - Sale ²⁵
	79.000	109.01	06/17/20	118.50	9.49 W	0.00	7 of 120 - Sale ²⁵
	21.000	28.98	06/17/20	34.02	5.04 W	0.00	8 of 120 - Sale ²⁵
	10.000	13.80	06/17/20	17.40	3.60 W	0.00	9 of 120 - Sale ²⁵
	52.000	71.75	06/17/20	84.25	12.50 W	0.00	10 of 120 - Sale ²⁵
	54.000	74.51	06/17/20	93.98	19.47 W	0.00	11 of 120 - Sale ²⁵
	152.000	209.74	06/17/20	264.52	54.78 W	0.00	12 of 120 - Sale ²⁵
	54.000	74.51	06/17/20	87.49	12.98 W	0.00	13 of 120 - Sale ²⁵
	384.000	529.86	06/17/20	668.28	138.42 W	0.00	14 of 120 - Sale ²⁵

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Robinhood Securities LLC

Account 148354244

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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ATLAS FINL HLDGS INC ORDINARY SHARES / CUSIP: G06207115 / Symbol: (cont'd)							
273.000		376.69	06/17/20	442.30	65.61 W	0.00	15 of 120 - Sale ²⁵
6.000		8.28	06/17/20	9.72	1.44 W	0.00	16 of 120 - Sale ²⁵
121.000		166.96	06/17/20	196.04	29.08 W	0.00	17 of 120 - Sale ²⁵
73.000		100.00	06/17/20	118.27	18.27 W	0.00	18 of 120 - Sale ²⁵
10.000		13.70	06/17/20	18.60	4.90 W	0.00	19 of 120 - Sale ²⁵
21.000		28.77	06/17/20	36.54	7.77 W	0.00	20 of 120 - Sale ²⁵
52.000		71.23	06/17/20	90.50	19.27 W	0.00	21 of 120 - Sale ²⁵
54.000		73.97	06/17/20	100.47	26.50 W	0.00	22 of 120 - Sale ²⁵
79.000		108.22	06/17/20	146.97	38.75 W	0.00	23 of 120 - Sale ²⁵
384.000		526.02	06/17/20	714.42	188.40 W	0.00	24 of 120 - Sale ²⁵
54.000		73.97	06/17/20	93.98	20.01 W	0.00	25 of 120 - Sale ²⁵
73.000		100.00	06/17/20	135.81	35.81 W	0.00	26 of 120 - Sale ²⁵
73.000		100.00	06/17/20	127.04	27.04 W	0.00	27 of 120 - Sale ²⁵
37.000		50.68	06/17/20	64.39	13.71 W	0.00	28 of 120 - Sale ²⁵
100.000		136.99	06/17/20	174.04	37.05 W	0.00	29 of 120 - Sale ²⁵
37.000		50.69	06/17/20	64.39	13.70 W	0.00	30 of 120 - Sale ²⁵
26.000		35.62	06/17/20	45.25	9.63 W	0.00	31 of 120 - Sale ²⁵
24.000		32.88	06/17/20	41.77	8.89 W	0.00	32 of 120 - Sale ²⁵
5.000		6.85	06/17/20	8.70	1.85 W	0.00	33 of 120 - Sale ²⁵
6.000		8.22	06/17/20	10.44	2.22 W	0.00	34 of 120 - Sale ²⁵
73.000		100.00	06/17/20	127.77	27.77 W	0.00	35 of 120 - Sale ²⁵
92.000		126.03	06/17/20	160.11	34.08 W	0.00	36 of 120 - Sale ²⁵
10.000		13.70	06/17/20	19.90	6.20 W	0.00	37 of 120 - Sale ²⁵
21.000		28.77	06/17/20	39.27	10.50 W	0.00	38 of 120 - Sale ²⁵
52.000		71.23	06/17/20	97.27	26.04 W	0.00	39 of 120 - Sale ²⁵
54.000		73.97	06/17/20	107.50	33.53 W	0.00	40 of 120 - Sale ²⁵
192.000		263.00	06/17/20	382.20	119.20 W	0.00	41 of 120 - Sale ²⁵
100.000		136.99	06/17/20	199.06	62.07 W	0.00	42 of 120 - Sale ²⁵
79.000		108.22	06/17/20	157.25	49.03 W	0.00	43 of 120 - Sale ²⁵
92.000		126.02	06/17/20	183.14	57.12 W	0.00	44 of 120 - Sale ²⁵
54.000		73.97	06/17/20	101.01	27.04 W	0.00	45 of 120 - Sale ²⁵
73.000		100.00	06/17/20	145.31	45.31 W	0.00	46 of 120 - Sale ²⁵
73.000		100.00	06/17/20	136.54	36.54 W	0.00	47 of 120 - Sale ²⁵
29.000		39.72	06/17/20	54.25	14.53 W	0.00	48 of 120 - Sale ²⁵

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Account 148354244

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(continued)

02/14/2021

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ATLAS FINL HLDGS INC ORDINARY SHARES / CUSIP: G06207115 / Symbol: (cont'd)							
26.000		35.62	06/17/20	48.63	13.01 W	0.00	49 of 120 - Sale ²⁵
8.000		10.96	06/17/20	14.96	4.00 W	0.00	50 of 120 - Sale ²⁵
37.000		50.68	06/17/20	69.20	18.52 W	0.00	51 of 120 - Sale ²⁵
100.000		136.98	06/17/20	187.05	50.07 W	0.00	52 of 120 - Sale ²⁵
5.000		6.85	06/17/20	9.35	2.50 W	0.00	53 of 120 - Sale ²⁵
6.000		8.22	06/17/20	11.22	3.00 W	0.00	54 of 120 - Sale ²⁵
10.000		13.70	06/17/20	21.20	7.50 W	0.00	55 of 120 - Sale ²⁵
21.000		28.77	06/17/20	42.00	13.23 W	0.00	56 of 120 - Sale ²⁵
24.000		32.88	06/17/20	44.89	12.01 W	0.00	57 of 120 - Sale ²⁵
52.000		71.23	06/17/20	104.04	32.81 W	0.00	58 of 120 - Sale ²⁵
54.000		73.97	06/17/20	114.53	40.56 W	0.00	59 of 120 - Sale ²⁵
63.000		86.30	06/17/20	133.61	47.31 W	0.00	60 of 120 - Sale ²⁵
73.000		100.00	06/17/20	137.27	37.27 W	0.00	61 of 120 - Sale ²⁵
92.000		126.03	06/17/20	172.08	46.05 W	0.00	62 of 120 - Sale ²⁵
29.000		39.72	06/17/20	61.50	21.78 W	0.00	63 of 120 - Sale ²⁵
79.000		108.22	06/17/20	167.53	59.31 W	0.00	64 of 120 - Sale ²⁵
92.000		126.02	06/17/20	195.12	69.10 W	0.00	65 of 120 - Sale ²⁵
100.000		136.98	06/17/20	212.07	75.09 W	0.00	66 of 120 - Sale ²⁵
129.000		176.71	06/17/20	273.59	96.88 W	0.00	67 of 120 - Sale ²⁵
8.000		10.96	06/17/20	16.00	5.04 W	0.00	68 of 120 - Sale ²⁵
29.000		39.73	06/17/20	58.03	18.30 W	0.00	69 of 120 - Sale ²⁵
54.000		73.97	06/17/20	108.04	34.07 W	0.00	70 of 120 - Sale ²⁵
44.000		60.27	06/17/20	93.31	33.04 W	0.00	71 of 120 - Sale ²⁵
73.000		100.00	06/17/20	146.04	46.04 W	0.00	72 of 120 - Sale ²⁵
92.000		126.03	06/17/20	184.06	58.03 W	0.00	73 of 120 - Sale ²⁵
5.000		6.85	06/17/20	10.00	3.15 W	0.00	74 of 120 - Sale ²⁵
24.000		32.87	06/17/20	48.01	15.14 W	0.00	75 of 120 - Sale ²⁵
26.000		35.62	06/17/20	52.01	16.39 W	0.00	76 of 120 - Sale ²⁵
37.000		50.69	06/17/20	74.02	23.33 W	0.00	77 of 120 - Sale ²⁵
8.000		10.96	06/17/20	16.01	5.05 W	0.00	78 of 120 - Sale ²⁵
6.000		8.22	06/17/20	12.00	3.78 W	0.00	79 of 120 - Sale ²⁵
10.000		13.70	06/17/20	22.50	8.80 W	0.00	80 of 120 - Sale ²⁵
21.000		28.77	06/17/20	44.73	15.96 W	0.00	81 of 120 - Sale ²⁵
52.000		71.23	06/17/20	110.81	39.58 W	0.00	82 of 120 - Sale ²⁵

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(continued)

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ATLAS FINL HLDGS INC ORDINARY SHARES / CUSIP: G06207115 / Symbol: (cont'd)							
	54.000	73.97	06/17/20	121.56	47.59 W	0.00	83 of 120 - Sale ²⁵
	63.000	86.30	06/17/20	141.81	55.51 W	0.00	84 of 120 - Sale ²⁵
	73.000	100.00	06/17/20	146.77	46.77 W	0.00	85 of 120 - Sale ²⁵
	92.000	126.03	06/17/20	184.05	58.02 W	0.00	86 of 120 - Sale ²⁵
	629.000	861.62	06/17/20	943.50	81.88 W	0.00	87 of 120 - Sale ²⁵
	1,000.000	1,359.84	06/17/20	1,500.00	140.16 W	0.00	88 of 120 - Sale ²⁵
	300.000	409.46	06/17/20	450.00	40.54 W	0.00	89 of 120 - Sale ²⁵
	1,200.000	1,631.82	06/17/20	1,800.00	168.18 W	0.00	90 of 120 - Sale ²⁵
	1,000.000	1,359.84	06/17/20	1,500.00	140.16 W	0.00	91 of 120 - Sale ²⁵
	3,071.000	4,176.09	06/17/20	4,606.50	430.41 W	0.00	92 of 120 - Sale ²⁵
	15.000	19.05	06/17/20	31.22	12.17 W	0.00	93 of 120 - Sale ²⁵
	10.000	12.70	06/17/20	20.81	8.11 W	0.00	94 of 120 - Sale ²⁵
	79.000	100.31	06/17/20	164.38	64.07 W	0.00	95 of 120 - Sale ²⁵
	92.000	116.83	06/17/20	191.46	74.63 W	0.00	96 of 120 - Sale ²⁵
	100.000	126.98	06/17/20	208.09	81.11 W	0.00	97 of 120 - Sale ²⁵
	129.000	163.81	06/17/20	268.45	104.64 W	0.00	98 of 120 - Sale ²⁵
	4.000	5.08	06/17/20	8.32	3.24 W	0.00	99 of 120 - Sale ²⁵
	44.000	55.88	06/17/20	91.56	35.68 W	0.00	100 of 120 - Sale ²⁵
	52.000	66.03	06/17/20	101.97	35.94 W	0.00	101 of 120 - Sale ²⁵
	5.000	6.35	06/17/20	9.80	3.45 W	0.00	102 of 120 - Sale ²⁵
	6.000	7.62	06/17/20	11.76	4.14 W	0.00	103 of 120 - Sale ²⁵
	8.000	10.16	06/17/20	15.68	5.52 W	0.00	104 of 120 - Sale ²⁵
	8.000	10.16	06/17/20	15.69	5.53 W	0.00	105 of 120 - Sale ²⁵
	10.000	12.70	06/17/20	22.10	9.40 W	0.00	106 of 120 - Sale ²⁵
	10.000	12.70	06/17/20	14.60	1.90 W	0.00	107 of 120 - Sale ²⁵
	21.000	26.67	06/17/20	43.89	17.22 W	0.00	108 of 120 - Sale ²⁵
	24.000	30.48	06/17/20	47.06	16.58 W	0.00	109 of 120 - Sale ²⁵
	26.000	33.02	06/17/20	50.97	17.95 W	0.00	110 of 120 - Sale ²⁵
	29.000	36.83	06/17/20	56.87	20.04 W	0.00	111 of 120 - Sale ²⁵
	37.000	46.98	06/17/20	72.54	25.56 W	0.00	112 of 120 - Sale ²⁵
	52.000	66.03	06/17/20	108.74	42.71 W	0.00	113 of 120 - Sale ²⁵
	2.000	2.54	06/17/20	3.92	1.38 W	0.00	114 of 120 - Sale ²⁵
	54.000	68.57	06/17/20	119.41	50.84 W	0.00	115 of 120 - Sale ²⁵
	63.000	80.00	06/17/20	139.30	59.30 W	0.00	116 of 120 - Sale ²⁵

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ATLAS FINL HLDGS INC ORDINARY SHARES / CUSIP: G06207115 / Symbol: (cont'd)							
	73.000	92.70	06/17/20	143.13	50.43 W	0.00	117 of 120 - Sale ²⁵
	73.000	92.70	06/17/20	143.86	51.16 W	0.00	118 of 120 - Sale ²⁵
	92.000	116.83	06/17/20	180.39	63.56 W	0.00	119 of 120 - Sale ²⁵
	92.000	116.82	06/17/20	180.38	63.56 W	0.00	120 of 120 - Sale ²⁵
06/17/20	15,210.000	20,679.45	Various	25,448.20	4,768.75 W	0.00	Total of 120 transactions
	Security total:	36,847.27		44,324.80	4,768.75 W	-2,708.78	
BORR DRILLING LIMITED COMMON S HARES OF PAR VALUE \$0.05 PER S HARE / CUSIP: G1466R207 / Symbol:							
10 transactions for 06/08/20. Total proceeds and cost reported to the IRS.							
	195.000	503.06	06/08/20	522.60	...	-19.54	1 of 10 - Sale ²⁵
	85.000	219.29	06/08/20	236.31	...	-17.02	2 of 10 - Sale ²⁵
	100.000	257.99	06/08/20	268.00	...	-10.01	3 of 10 - Sale ²⁵
	9.000	23.22	06/08/20	25.02	...	-1.80	4 of 10 - Sale ²⁵
	6.000	15.48	06/08/20	16.08	...	-0.60	5 of 10 - Sale ²⁵
	44.000	117.47	06/08/20	116.16	...	1.31	6 of 10 - Sale ²⁵
	100.000	266.98	06/08/20	264.00	...	2.98	7 of 10 - Sale ²⁵
	100.000	266.98	06/08/20	264.00	...	2.98	8 of 10 - Sale ²⁵
	100.000	266.99	06/08/20	264.00	...	2.99	9 of 10 - Sale ²⁵
	106.000	283.00	06/08/20	279.84	...	3.16	10 of 10 - Sale ²⁵
06/08/20	845.000	2,220.46	Various	2,256.01	...	-35.55	Total of 10 transactions
06/08/20	95.000	245.09	06/08/20	254.60	9.41 W	-0.10	Sale ²⁵
	Security total:	2,465.55		2,510.61	9.41 W	-35.65	
VALARIS PLC ORDINARY SHARES / CUSIP: G9402V109 / Symbol:							
8 transactions for 06/08/20. Total proceeds and cost reported to the IRS.							
	100.000	207.98	06/08/20	206.00	...	1.98	1 of 8 - Sale ²⁵
	100.000	207.98	06/08/20	206.00	...	1.98	2 of 8 - Sale ²⁵
	100.000	207.98	06/08/20	206.00	...	1.98	3 of 8 - Sale ²⁵
	100.000	207.99	06/08/20	206.00	...	1.99	4 of 8 - Sale ²⁵
	150.000	311.97	06/08/20	309.00	...	2.97	5 of 8 - Sale ²⁵
	500.000	1,034.91	06/08/20	1,029.85	...	5.06	6 of 8 - Sale ²⁵
	500.000	1,084.96	06/08/20	1,065.00	...	19.96	7 of 8 - Sale ²⁵
	550.000	1,160.46	06/08/20	1,137.62	...	22.84	8 of 8 - Sale ²⁵
06/08/20	2,100.000	4,424.23	Various	4,365.47	...	58.76	Total of 8 transactions

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NXP SEMICONDUCTORS N.V. COMMON STOCK / CUSIP: N6596X109 / Symbol:							
05/13/20	1.000	92.89	01/27/20	130.73	...	-37.84	Sale ²⁵
DYNAGAS LNG PARTNERS LP / CUSIP: Y2188B108 / Symbol:							
06/05/20	23.000	57.96	06/04/20	58.65	...	-0.69	Sale ²⁵
SEANERGY MARITIME HOLDINGS COR P COMMON STOCK / CUSIP: Y73760301 / Symbol:							
26 transactions for 06/23/20. Total proceeds and cost reported to the IRS.							
	10.000	3.30	06/23/20	3.13	...	0.17	1 of 26 - Sale ²⁵
	100.000	29.40	06/23/20	29.20	...	0.20	2 of 26 - Sale ²⁵
	100.000	29.40	06/23/20	29.20	...	0.20	3 of 26 - Sale ²⁵
	100.000	29.40	06/23/20	29.20	...	0.20	4 of 26 - Sale ²⁵
	100.000	29.40	06/23/20	29.20	...	0.20	5 of 26 - Sale ²⁵
	90.000	29.71	06/23/20	28.18	...	1.53	6 of 26 - Sale ²⁵
	100.000	33.01	06/23/20	31.31	...	1.70	7 of 26 - Sale ²⁵
	100.000	33.01	06/23/20	31.31	...	1.70	8 of 26 - Sale ²⁵
	100.000	33.01	06/23/20	31.31	...	1.70	9 of 26 - Sale ²⁵
	100.000	33.01	06/23/20	31.31	...	1.70	10 of 26 - Sale ²⁵
	100.000	33.01	06/23/20	31.31	...	1.70	11 of 26 - Sale ²⁵
	250.000	82.52	06/23/20	78.23	...	4.29	12 of 26 - Sale ²⁵
	500.000	165.03	06/23/20	156.55	...	8.48	13 of 26 - Sale ²⁵
	500.000	165.29	06/23/20	156.15	...	9.14	14 of 26 - Sale ²⁵
	600.000	198.04	06/23/20	187.86	...	10.18	15 of 26 - Sale ²⁵
	600.000	198.05	06/23/20	187.86	...	10.19	16 of 26 - Sale ²⁵
	700.000	231.05	06/23/20	219.17	...	11.88	17 of 26 - Sale ²⁵
	700.000	231.41	06/23/20	218.61	...	12.80	18 of 26 - Sale ²⁵
	861.000	284.63	06/23/20	268.89	...	15.74	19 of 26 - Sale ²⁵
	900.000	297.52	06/23/20	281.07	...	16.45	20 of 26 - Sale ²⁵
	1,000.000	330.07	06/23/20	312.90	...	17.17	21 of 26 - Sale ²⁵
	17,220.000	5,060.51	06/23/20	5,028.24	...	32.27	22 of 26 - Sale ²⁵
	2,200.000	726.16	06/23/20	688.60	...	37.56	23 of 26 - Sale ²⁵
	2,400.000	793.37	06/23/20	749.52	...	43.85	24 of 26 - Sale ²⁵
	3,550.000	1,171.76	06/23/20	1,110.09	...	61.67	25 of 26 - Sale ²⁵
	4,639.000	1,531.21	06/23/20	1,448.76	...	82.45	26 of 26 - Sale ²⁵
06/23/20	37,620.000	11,782.28	Various	11,397.16	...	385.12	Total of 26 transactions

* 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 148354244

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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

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

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

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	7- Loss not allowed (X) also not reported (Z)	Gain or loss(-) & Additional information
SEANERGY MARITIME HOLDINGS COR P COMMON STOCK / CUSIP: Y73760301 / Symbol: (cont'd)							
Totals :		1,152,448.15		1,217,742.37	49,944.90 W		-15,349.32

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

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

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

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	7- Loss not allowed (X) also not reported (Z)	Gain or loss(-) & Additional information
PENNEY J C CORP INC COMMON STO CK / CUSIP: 708160106 / Symbol:							
11/02/20	1.000	0.13	03/21/18	3.07	...		-2.94 Sale ²⁵
Totals :		0.13		3.07			-2.94

* 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 148354244

Detail for Dividends and Distributions

2020

02/14/2021

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

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

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

Security description	CUSIP and/or symbol	State	Date	Amount	Transaction type	Notes
APPLE INC. COMMON STOCK	037833100		02/13/20	3.85	Qualified dividend	
ARES MANAGEMENT CORPORATION CL ASS A COMMON STOCK	03990B101		03/31/20	2.88	Qualified dividend	03
			03/31/20	2.72	Nondividend distribution	03
				5.60	Total Dividends & distributions	
GILEAD SCIENCES, INC. COMMON S TOCK	375558103		06/29/20	0.68	Qualified dividend	
			09/29/20	0.02	Qualified dividend	
			12/30/20	0.02	Qualified dividend	
				0.72	Total Dividends & distributions	
MICROSOFT CORPORATION COMMON S TOCK	594918104		03/12/20	3.06	Qualified dividend	
POWER INTEGRATIONS, INC. COMMO N STOCK	739276103		03/31/20	0.95	Qualified dividend	
TECHNOLOGY SELECT SECTOR SPDR FUND	81369Y803		03/26/20	3.71	Qualified dividend	
NXP SEMICONDUCTORS N.V. COMMON STOCK	N6596X109		04/06/20	0.38	Nonqualified dividend	
			04/06/20	-0.06	Foreign tax withheld-NL	
				0.38	Total Dividends & distributions	
				-0.06	Total Foreign tax withheld	
				18.27	Total Dividends & distributions	
				-0.06	Total Foreign tax withheld	

Robinhood Securities LLC

Account 148354244

Detail for Interest Income

2020

02/14/2021

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

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

Security description	CUSIP and/or symbol	Date	Amount	Transaction type	Notes
		04/30/20	2.63	Interest	
		05/26/20	1.72	Interest	
		05/29/20	0.22	Interest	
		10/30/20	0.21	Interest	
		11/30/20	0.01	Interest	
			4.79	Total Interest	
			4.79	Total Interest	

Robinhood Securities LLC

Account 148354244

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
		09/10/20	-5.00	Margin interest paid	
		10/12/20	-5.00	Margin interest paid	
		11/09/20	-5.00	Margin interest paid	
		12/09/20	-5.00	Margin interest paid	
			-20.00	Total Margin interest paid	
			-20.00	Total Margin interest paid	

Robinhood Securities LLC

Account 148354244

Foreign Income and Taxes Summary

2020

02/14/2021

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

Country	Security Description	CUSIP	Nonqualified	Dividends		Interest	Total Income	Tax
				Qualified				
NL	NXP SEMICONDUCTORS N.V. COMMON STOCK	N6596X109	0.38	0.00		0.00	0.38	-0.06
Total NETHERLANDS			0.38	0.00		0.00	0.38	-0.06
Grand Total	Total Foreign Source Income*			0.38				
	Qualified Foreign Source Income**			0.00				
	Foreign Tax							-0.06

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

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

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

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

Common Instructions for Recipient

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Instructions for Recipient

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

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

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

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

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

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

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

1099-INT Instructions for Recipient

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

1099-B Instructions for Recipient

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

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

Instructions for Recipient

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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