

<b>Robinhood Securities LLC</b> 500 Colonial Center Parkway Suite 100 Lake Mary, FL 32746 Customer Service: 650-940-2700  PAYER'S TIN: 38-4019216	<b>Tax Information</b> <b>Account 132582909</b>	Statement Date: 02/14/2021 Document ID: 12P3 J31 CH48	2020
	Harinath reddy Nussam 4701 Monterey Oaks Blvd 126 Austin, TX 78749  RECIPIENT'S TIN: XXX-XX-9141		

**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)	0.00		2- Royalties	0.00	
1b- Qualified dividends	0.00		3- Other income	0.00	
2a- Total capital gain distributions (includes lines 2b, 2c, 2d)	0.00		<b>4- Federal income tax withheld</b>	<b>0.00</b>	
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		<b>SECTION 1256 CONTRACTS</b>	<b>2020 1099-B*</b>	OMB No. 1545-0715
3- Nondividend distributions	45.00		8- Profit or (loss) realized in 2020 on closed contracts	0.00	
<b>4- Federal income tax withheld</b>	<b>0.00</b>		9- Unrealized profit or (loss) on open contracts-12/31/2019	0.00	
5- Section 199A dividends	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:	0.00				
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)	1,055,336.35	1,159,108.37	0.00	75,791.01	-27,981.01
Short	B (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Short	C (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
	<b>Total Short-term</b>	<b>1,055,336.35</b>	<b>1,159,108.37</b>	<b>0.00</b>	<b>75,791.01</b>	<b>-27,981.01</b>
Long	D (basis reported to the IRS)	7.04	4.00	0.00	0.00	3.04
Long	E (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Long	F (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
	<b>Total Long-term</b>	<b>7.04</b>	<b>4.00</b>	<b>0.00</b>	<b>0.00</b>	<b>3.04</b>
Undetermined	B or E (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Undetermined	C or F (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
	<b>Total Undetermined-term</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
	<b>Grand total</b>	<b>1,055,343.39</b>	<b>1,159,112.37</b>	<b>0.00</b>	<b>75,791.01</b>	<b>-27,977.97</b>
<b>Withholding</b>		<b>Amount</b>				
	Federal income tax withheld	0.00				

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

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**Summary Information**

2020

(continued)

02/14/2021

**INTEREST INCOME**

**2020 1099-INT**

OMB No. 1545-0112

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1- Interest income (not included in line 3)	0.91
2- Early withdrawal penalty	0.00
3- Interest on US Savings Bonds & Treasury obligations	0.00
<b>4- Federal income tax withheld</b>	<b>0.00</b>
5- Investment expenses	0.00
7- Foreign country or US possession: 6- Foreign tax paid:	0.00
8- Tax-exempt interest (includes line 9)	0.00
9- Specified private activity bond interest (AMT)	0.00
10- Market discount (covered lots)	0.00
11- Bond premium (covered lots)	0.00
12- Bond premium on Treasury obligations (covered lots)	0.00
13- Bond premium on tax-exempt bonds (categorized below)	0.00
<i>Tax-exempt obligations (covered lots)</i>	0.00
<i>Tax-exempt private activity obligations (AMT, covered lots)</i>	0.00
14- Tax-exempt and tax credit bond CUSIP number	See detail

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

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

**STATE TAX WITHHELD**

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

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

**ORIGINAL ISSUE DISCOUNT AND ADJUSTMENTS**

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

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

**RECONCILIATIONS, FEES, EXPENSES AND EXPENDITURES**

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

Other Receipts & Reconciliations- Partnership distributions	0.00
Other Receipts & Reconciliations- Foreign tax paid- partnership	0.00
Other Receipts & Reconciliations- Return of principal	0.00
Other Receipts & Reconciliations- Deferred income payment	0.00
Other Receipts & Reconciliations- Deemed premium	0.00
Other Receipts & Reconciliations- Income accrual- UIT	0.00
Other Receipts & Reconciliations- Basis adjustments	0.00
Other Receipts & Reconciliations- Foreign tax pd beyond treaty	0.00
Fees & Expenses- Margin interest	53.35
Fees & Expenses- Dividends paid on short position	0.00
Fees & Expenses- Interest paid on short position	0.00
Fees & Expenses- Non reportable distribution expense	0.00
Fees & Expenses- Other expenses	0.00
Fees & Expenses- Severance tax	0.00
Fees & Expenses- Organizational expense	0.00
Fees & Expenses- Miscellaneous fees	0.00
Fees & Expenses- Tax-exempt investment expense	0.00
Foreign Exchange Gains & Losses- Foreign currency gain/loss	0.00

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**Proceeds from Broker and Barter Exchange Transactions**

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

02/14/2021

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

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

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

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

FATCA filing requirement [ ]

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

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

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
AAL 01/15/2021 CALL \$60.00 / CUSIP: / Symbol:							
4 transactions for 06/15/20. Total proceeds and cost reported to the IRS.							
	1.000	21.98	03/23/20	9.00	...	12.98	1 of 4 - Option sale to close-call <sup>25</sup>
	1.000	22.99	04/13/20	7.00	...	15.99	2 of 4 - Option sale to close-call <sup>25</sup>
	1.000	22.99	04/13/20	7.00	...	15.99	3 of 4 - Option sale to close-call <sup>25</sup>
	1.000	23.00	04/13/20	7.00	...	16.00	4 of 4 - Option sale to close-call <sup>25</sup>
06/15/20	4.000	90.96	Various	30.00	...	60.96	Total of 4 transactions
AAL 06/26/2020 CALL \$16.50 / CUSIP: / Symbol:							
06/10/20	5.000	1,449.95	06/10/20	1,025.00	...	424.95	Option sale to close-call <sup>25</sup>
AAL 07/02/2020 CALL \$17.50 / CUSIP: / Symbol:							
06/16/20	1.000	215.98	06/10/20	216.00	...	-0.02	Option sale to close-call <sup>25</sup>

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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
AAL 07/10/2020 CALL \$16.50 / CUSIP: / Symbol:							
3 transactions for 07/06/20. Total proceeds and cost reported to the IRS.							
	4.000	11.99	06/19/20	556.00	...	-544.01	1 of 3 - Option sale to close-call <sup>25</sup>
	1.000	3.00	06/19/20	139.00	...	-136.00	2 of 3 - Option sale to close-call <sup>25</sup>
	2.000	5.99	06/22/20	184.00	...	-178.01	3 of 3 - Option sale to close-call <sup>25</sup>
07/06/20	7.000	20.98	Various	879.00	...	-858.02	Total of 3 transactions
ACI 08/21/2020 CALL \$20.00 / CUSIP: / Symbol:							
7 transactions for 07/15/20. Total proceeds and cost reported to the IRS.							
	10.000	199.97	07/02/20	300.00	...	-100.03	1 of 7 - Option sale to close-call <sup>25</sup>
	4.000	79.98	07/02/20	120.00	...	-40.02	2 of 7 - Option sale to close-call <sup>25</sup>
	2.000	39.98	07/02/20	60.00	...	-20.02	3 of 7 - Option sale to close-call <sup>25</sup>
	1.000	19.98	07/02/20	30.00	...	-10.02	4 of 7 - Option sale to close-call <sup>25</sup>
	1.000	19.98	07/02/20	30.00	...	-10.02	5 of 7 - Option sale to close-call <sup>25</sup>
	1.000	19.98	07/02/20	30.00	...	-10.02	6 of 7 - Option sale to close-call <sup>25</sup>
	1.000	19.98	07/02/20	30.00	...	-10.02	7 of 7 - Option sale to close-call <sup>25</sup>
07/15/20	20.000	399.85	Various	600.00	...	-200.15	Total of 7 transactions
AMD 06/26/2020 CALL \$57.00 / CUSIP: / Symbol:							
06/17/20	1.000	136.98	06/16/20	93.00	...	43.98	Option sale to close-call <sup>25</sup>
AMD 07/10/2020 CALL \$54.00 / CUSIP: / Symbol:							
3 transactions for 07/07/20. Total proceeds and cost reported to the IRS.							
	2.000	219.99	06/24/20	436.00	...	-216.01	1 of 3 - Option sale to close-call <sup>25</sup>
	1.000	110.00	07/01/20	84.00	...	26.00	2 of 3 - Option sale to close-call <sup>25</sup>
	3.000	329.98	07/02/20	237.00	...	92.98	3 of 3 - Option sale to close-call <sup>25</sup>
07/07/20	6.000	659.97	Various	757.00	...	-97.03	Total of 3 transactions
BAC 06/18/2021 CALL \$35.00 / CUSIP: / Symbol:							
05/20/20	1.000	52.98	03/23/20	33.00	...	19.98	Option sale to close-call <sup>25</sup>
BAC 06/19/2020 CALL \$24.00 / CUSIP: / Symbol:							
06/16/20	2.000	411.98	06/15/20	174.00	...	237.98	Option sale to close-call <sup>25</sup>
BAC 06/19/2020 CALL \$28.00 / CUSIP: / Symbol:							
06/18/20	5.000	4.98	06/10/20	215.00	...	-210.02	Option sale to close-call <sup>25</sup>

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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
BAC 07/02/2020 CALL \$27.50 / CUSIP: / Symbol:							
06/25/20	1.000	6.98	06/10/20	129.00	...	-122.02	Option sale to close-call <sup>25</sup>
BAC 07/10/2020 CALL \$24.00 / CUSIP: / Symbol:							
2 transactions for 07/06/20. Total proceeds and cost reported to the IRS.							
	2.000	77.99	07/02/20	74.00	...	3.99	1 of 2 - Option sale to close-call <sup>25</sup>
	8.000	311.98	07/02/20	296.00	...	15.98	2 of 2 - Option sale to close-call <sup>25</sup>
07/06/20	10.000	389.97	Various	370.00	...	19.97	Total of 2 transactions
BAC 07/10/2020 CALL \$25.00 / CUSIP: / Symbol:							
4 transactions for 07/01/20. Total proceeds and cost reported to the IRS.							
	1.000	28.98	06/30/20	24.00	...	4.98	1 of 4 - Option sale to close-call <sup>25</sup>
	1.000	28.98	06/30/20	24.00	...	4.98	2 of 4 - Option sale to close-call <sup>25</sup>
	1.000	28.98	06/30/20	24.00	...	4.98	3 of 4 - Option sale to close-call <sup>25</sup>
	2.000	57.98	06/30/20	48.00	...	9.98	4 of 4 - Option sale to close-call <sup>25</sup>
07/01/20	5.000	144.92	Various	120.00	...	24.92	Total of 4 transactions
BAC 07/17/2020 CALL \$23.50 / CUSIP: / Symbol:							
3 transactions for 07/08/20. Total proceeds and cost reported to the IRS.							
	1.000	67.98	07/07/20	63.00	...	4.98	1 of 3 - Option sale to close-call <sup>25</sup>
	1.000	67.98	07/07/20	63.00	...	4.98	2 of 3 - Option sale to close-call <sup>25</sup>
	3.000	203.98	07/07/20	189.00	...	14.98	3 of 3 - Option sale to close-call <sup>25</sup>
07/08/20	5.000	339.94	Various	315.00	...	24.94	Total of 3 transactions
BAC 07/17/2020 CALL \$29.00 / CUSIP: / Symbol:							
07/14/20	2.000	1.98	06/10/20	154.00	...	-152.02	Option sale to close-call <sup>25</sup>
BYND 01/10/2020 CALL \$75.50 / CUSIP: / Symbol:							
01/02/20	2.000	619.97	12/27/19	516.00	...	103.97	Option sale to close-call <sup>25</sup>
CEMI 08/21/2020 CALL \$2.50 / CUSIP: / Symbol:							
07/09/20	1.000	204.98	07/08/20	190.00	...	14.98	Option sale to close-call <sup>25</sup>

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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
D 07/17/2020 CALL \$77.50 / CUSIP: / Symbol:							
3 transactions for 07/16/20. Total proceeds and cost reported to the IRS.							
	1.000	14.99	07/06/20	80.00	...	-65.01	1 of 3 - Option sale to close-call <sup>25</sup>
	1.000	14.99	07/06/20	80.00	...	-65.01	2 of 3 - Option sale to close-call <sup>25</sup>
	1.000	15.00	07/06/20	80.00	...	-65.00	3 of 3 - Option sale to close-call <sup>25</sup>
07/16/20	3.000	44.98	Various	240.00	...	-195.02	Total of 3 transactions
D 07/17/2020 CALL \$80.00 / CUSIP: / Symbol:							
07/17/20	2.000	0.00	07/06/20	116.00	...	-116.00	Option expiration- long call
D 08/21/2020 CALL \$80.00 / CUSIP: / Symbol:							
2 transactions for 07/14/20. Total proceeds and cost reported to the IRS.							
	1.000	74.99	07/06/20	125.00	...	-50.01	1 of 2 - Option sale to close-call <sup>25</sup>
	1.000	74.99	07/06/20	125.00	...	-50.01	2 of 2 - Option sale to close-call <sup>25</sup>
07/14/20	2.000	149.98	Various	250.00	...	-100.02	Total of 2 transactions
DAL 06/05/2020 CALL \$22.00 / CUSIP: / Symbol:							
05/20/20	1.000	189.98	05/19/20	149.00	...	40.98	Option sale to close-call <sup>25</sup>
DOCU 06/26/2020 CALL \$165.00 / CUSIP: / Symbol:							
2 transactions for 06/10/20. Total proceeds and cost reported to the IRS.							
	1.000	149.99	06/08/20	55.00	...	94.99	1 of 2 - Option sale to close-call <sup>25</sup>
	2.000	299.99	06/08/20	110.00	...	189.99	2 of 2 - Option sale to close-call <sup>25</sup>
06/10/20	3.000	449.98	Various	165.00	...	284.98	Total of 2 transactions
DOCU 08/21/2020 CALL \$200.00 / CUSIP: / Symbol:							
07/27/20	1.000	904.96	07/24/20	890.00	...	14.96	Option sale to close-call <sup>25</sup>
F 01/15/2021 CALL \$10.00 / CUSIP: / Symbol:							
05/20/20	1.000	8.98	03/23/20	10.00	...	-1.02	Option sale to close-call <sup>25</sup>
FDX 07/10/2020 CALL \$157.50 / CUSIP: / Symbol:							
07/07/20	1.000	137.98	07/06/20	118.00	...	19.98	Option sale to close-call <sup>25</sup>
FTI 08/21/2020 CALL \$7.00 / CUSIP: / Symbol:							
07/01/20	10.000	899.96	06/29/20	800.00	...	99.96	Option sale to close-call <sup>25</sup>

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(continued)

02/14/2021

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

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**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
FXI 09/18/2020 PUT \$49.00 / CUSIP: / Symbol:							
07/07/20	2.000	1,063.96	07/06/20	950.00	...	113.96	Option sale to close-put <sup>25</sup>
GE 06/26/2020 CALL \$8.00 / CUSIP: / Symbol:							
2 transactions for 06/26/20. Total proceeds and cost reported to the IRS.							
	10.000	0.00	06/22/20	40.00	...	-40.00	1 of 2 - Option expiration- long call
	10.000	0.00	06/22/20	40.00	...	-40.00	2 of 2 - Option expiration- long call
06/26/20	20.000	0.00	Various	80.00	...	-80.00	Total of 2 transactions
GLD 07/17/2020 CALL \$169.00 / CUSIP: / Symbol:							
2 transactions for 07/17/20. Total proceeds and cost reported to the IRS.							
	1.000	97.98	07/16/20	52.00	...	45.98	1 of 2 - Option sale to close-call <sup>25</sup>
	1.000	97.98	07/16/20	52.00	...	45.98	2 of 2 - Option sale to close-call <sup>25</sup>
07/17/20	2.000	195.96	Various	104.00	...	91.96	Total of 2 transactions
GNUS 07/10/2020 CALL \$2.00 / CUSIP: / Symbol:							
2 transactions for 07/01/20. Total proceeds and cost reported to the IRS.							
	2.000	79.99	06/30/20	60.00	...	19.99	1 of 2 - Option sale to close-call <sup>25</sup>
	10.000	399.97	06/30/20	300.00	...	99.97	2 of 2 - Option sale to close-call <sup>25</sup>
07/01/20	12.000	479.96	Various	360.00	...	119.96	Total of 2 transactions
GNUS 07/17/2020 CALL \$2.50 / CUSIP: / Symbol:							
3 transactions for 07/08/20. Total proceeds and cost reported to the IRS.							
	4.000	159.98	07/07/20	160.00	...	-0.02	1 of 3 - Option sale to close-call <sup>25</sup>
	2.000	79.99	07/07/20	80.00	...	-0.01	2 of 3 - Option sale to close-call <sup>25</sup>
	1.000	40.00	07/07/20	40.01	...	-0.01	3 of 3 - Option sale to close-call <sup>25</sup>
07/08/20	7.000	279.97	Various	280.01	...	-0.04	Total of 3 transactions
07/08/20	1.000	39.99	07/07/20	40.00	0.01 W	0.00	Option sale to close-call <sup>25</sup>
	<b>Security total:</b>	<b>319.96</b>		<b>320.01</b>	<b>0.01 W</b>	<b>-0.04</b>	
GNUS 08/21/2020 CALL \$2.00 / CUSIP: / Symbol:							
07/16/20	4.000	279.98	07/15/20	280.00	...	-0.02	Option sale to close-call <sup>25</sup>

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Robinhood Securities LLC

Account 132582909

## 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
GNUS 09/18/2020 CALL \$2.00 / CUSIP: / Symbol:							
2 transactions for 07/06/20. Total proceeds and cost reported to the IRS.							
	2.000	299.99	06/16/20	420.00	...	-120.01	1 of 2 - Option sale to close-call <sup>25</sup>
	2.000	299.98	06/30/20	150.00	...	149.98	2 of 2 - Option sale to close-call <sup>25</sup>
07/06/20	4.000	599.97	Various	570.00	...	29.97	Total of 2 transactions
GNUS 09/18/2020 CALL \$6.00 / CUSIP: / Symbol:							
3 transactions for 06/19/20. Total proceeds and cost reported to the IRS.							
	8.000	439.97	06/17/20	440.00	...	-0.03	1 of 3 - Option sale to close-call <sup>25</sup>
	1.000	54.98	06/17/20	55.00	...	-0.02	2 of 3 - Option sale to close-call <sup>25</sup>
	1.000	54.98	06/17/20	55.00	...	-0.02	3 of 3 - Option sale to close-call <sup>25</sup>
06/19/20	10.000	549.93	Various	550.00	...	-0.07	Total of 3 transactions
GOOGL 07/24/2020 CALL \$1,550.0 / CUSIP: / Symbol:							
07/20/20	1.000	2,439.93	07/20/20	2,110.00	...	329.93	Option sale to close-call <sup>25</sup>
GRPN 02/21/2020 CALL \$3.00 / CUSIP: / Symbol:							
2 transactions for 01/03/20. Total proceeds and cost reported to the IRS.							
	21.000	104.96	12/23/19	105.04	...	-0.08	1 of 2 - Option sale to close-call <sup>25</sup>
	59.000	294.87	12/23/19	236.12	...	58.75	2 of 2 - Option sale to close-call <sup>25</sup>
01/03/20	80.000	399.83	Various	341.16	...	58.67	Total of 2 transactions
GRPN 02/21/2020 CALL \$3.50 / CUSIP: / Symbol:							
2 transactions for 01/17/20. Total proceeds and cost reported to the IRS.							
	31.000	123.93	12/20/19	93.00	...	30.93	1 of 2 - Option sale to close-call <sup>25</sup>
	80.000	319.83	12/20/19	240.00	...	79.83	2 of 2 - Option sale to close-call <sup>25</sup>
01/17/20	111.000	443.76	Various	333.00	...	110.76	Total of 2 transactions
GRPN 07/10/2020 CALL \$18.50 / CUSIP: / Symbol:							
07/01/20	10.000	1,309.95	06/30/20	1,080.00	...	229.95	Option sale to close-call <sup>25</sup>
07/10/20	10.000	0.00	07/01/20	680.00	...	-680.00	Option expiration- long call
	<b>Security total:</b>	<b>1,309.95</b>		<b>1,760.00</b>	...	<b>-450.05</b>	
GUSH 07/17/2020 CALL \$33.00 / CUSIP: / Symbol:							
07/02/20	1.000	399.98	07/01/20	290.00	...	109.98	Option sale to close-call <sup>25</sup>

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Robinhood Securities LLC

Account 132582909

## Proceeds from Broker and Barter Exchange Transactions

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

(continued)

02/14/2021

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
IDEX 07/17/2020 CALL \$1.00 / CUSIP: / Symbol:							
2 transactions for 06/29/20. Total proceeds and cost reported to the IRS.							
	10.000	849.96	06/26/20	800.00	...	49.96	1 of 2 - Option sale to close-call <sup>25</sup>
	10.000	849.96	06/26/20	670.04	...	179.92	2 of 2 - Option sale to close-call <sup>25</sup>
06/29/20	20.000	1,699.92	Various	1,470.04	...	229.88	Total of 2 transactions
06/29/20	10.000	849.96	06/26/20	1,020.00	170.04 W	0.00	Option sale to close-call <sup>25</sup>
	<b>Security total:</b>	<b>2,549.88</b>		<b>2,490.04</b>	<b>170.04 W</b>	<b>229.88</b>	
IDEX 08/21/2020 CALL \$1.00 / CUSIP: / Symbol:							
2 transactions for 07/08/20. Total proceeds and cost reported to the IRS.							
	1.000	64.99	07/07/20	55.00	...	9.99	1 of 2 - Option sale to close-call <sup>25</sup>
	1.000	64.99	07/07/20	55.00	...	9.99	2 of 2 - Option sale to close-call <sup>25</sup>
07/08/20	2.000	129.98	Various	110.00	...	19.98	Total of 2 transactions
ISEE 01/17/2020 CALL \$12.50 / CUSIP: / Symbol:							
3 transactions for 01/17/20. Total proceeds and cost reported to the IRS.							
	35.000	0.00	12/23/19	1,225.08	...	-1,225.08	1 of 3 - Option expiration- long call
	15.000	0.00	12/23/19	660.07	...	-660.07	2 of 3 - Option expiration- long call
	4.000	0.00	12/23/19	140.01	...	-140.01	3 of 3 - Option expiration- long call
01/17/20	54.000	0.00	Various	2,025.16	...	-2,025.16	Total of 3 transactions
ISEE 09/18/2020 CALL \$10.00 / CUSIP: / Symbol:							
05/13/20	1.000	34.98	03/26/20	35.00	...	-0.02	Option sale to close-call <sup>25</sup>
IVR 07/17/2020 CALL \$5.00 / CUSIP: / Symbol:							
07/17/20	1.000	0.00	06/30/20	9.00	...	-9.00	Option expiration- long call
IVR 08/21/2020 CALL \$3.00 / CUSIP: / Symbol:							
5 transactions for 07/10/20. Total proceeds and cost reported to the IRS.							
	2.000	99.99	07/08/20	90.00	...	9.99	1 of 5 - Option sale to close-call <sup>25</sup>
	2.000	99.99	07/08/20	90.00	...	9.99	2 of 5 - Option sale to close-call <sup>25</sup>
	1.000	50.00	07/09/20	45.00	...	5.00	3 of 5 - Option sale to close-call <sup>25</sup>
	10.000	499.97	07/09/20	450.00	...	49.97	4 of 5 - Option sale to close-call <sup>25</sup>
	19.000	949.94	07/09/20	855.00	...	94.94	5 of 5 - Option sale to close-call <sup>25</sup>
07/10/20	34.000	1,699.89	Various	1,530.00	...	169.89	Total of 5 transactions

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Robinhood Securities LLC

Account 132582909

## 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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IVR 08/21/2020 CALL \$3.00 / CUSIP: / Symbol: (cont'd)							
2 transactions for 07/10/20. Total proceeds and cost reported to the IRS.							
	10.000	499.97	07/06/20	600.00	100.03 W	0.00	1 of 2 - Option sale to close-call <sup>25</sup>
	2.000	99.99	07/07/20	100.00	0.01 W	0.00	2 of 2 - Option sale to close-call <sup>25</sup>
07/10/20	12.000	599.96	Various	700.00	100.04 W	0.00	Total of 2 transactions
07/14/20	8.000	359.97	07/13/20	440.02	80.05 W	0.00	Option sale to close-call <sup>25</sup>
3 transactions for 07/15/20. Total proceeds and cost reported to the IRS.							
	2.000	100.00	07/13/20	90.01	...	9.99	1 of 3 - Option sale to close-call <sup>25</sup>
	2.000	99.99	07/13/20	90.00	...	9.99	2 of 3 - Option sale to close-call <sup>25</sup>
	6.000	299.98	07/13/20	270.00	...	29.98	3 of 3 - Option sale to close-call <sup>25</sup>
07/15/20	10.000	499.97	Various	450.01	...	49.96	Total of 3 transactions
07/15/20	2.000	99.99	07/13/20	110.01	10.02 W	0.00	Option sale to close-call <sup>25</sup>
3 transactions for 07/23/20. Total proceeds and cost reported to the IRS.							
	8.000	439.97	07/20/20	440.05	...	-0.08	1 of 3 - Option sale to close-call <sup>25</sup>
	1.000	54.98	07/20/20	50.01	...	4.97	2 of 3 - Option sale to close-call <sup>25</sup>
	1.000	54.98	07/20/20	50.01	...	4.97	3 of 3 - Option sale to close-call <sup>25</sup>
07/23/20	10.000	549.93	Various	540.07	...	9.86	Total of 3 transactions
	<b>Security total:</b>	<b>3,809.71</b>		<b>3,770.11</b>	<b>190.11 W</b>	<b>229.71</b>	
IVR 10/16/2020 CALL \$9.00 / CUSIP: / Symbol:							
5 transactions for 06/08/20. Total proceeds and cost reported to the IRS.							
	1.000	124.98	03/27/20	95.00	...	29.98	1 of 5 - Option sale to close-call <sup>25</sup>
	1.000	124.98	04/14/20	65.00	...	59.98	2 of 5 - Option sale to close-call <sup>25</sup>
	1.000	124.99	04/14/20	65.00	...	59.99	3 of 5 - Option sale to close-call <sup>25</sup>
	1.000	124.98	04/24/20	20.00	...	104.98	4 of 5 - Option sale to close-call <sup>25</sup>
	1.000	124.99	04/24/20	20.00	...	104.99	5 of 5 - Option sale to close-call <sup>25</sup>
06/08/20	5.000	624.92	Various	265.00	...	359.92	Total of 5 transactions
KO 01/15/2021 CALL \$62.50 / CUSIP: / Symbol:							
05/20/20	1.000	14.98	03/24/20	18.00	...	-3.02	Option sale to close-call <sup>25</sup>
LUV 06/26/2020 CALL \$36.50 / CUSIP: / Symbol:							
06/18/20	1.000	159.98	06/17/20	154.00	...	5.98	Option sale to close-call <sup>25</sup>

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Account 132582909

**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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LYFT 06/19/2020 CALL \$36.50 / CUSIP: / Symbol:							
2 transactions for 06/16/20. Total proceeds and cost reported to the IRS.							
	1.000	190.99	06/15/20	109.00	...	81.99	1 of 2 - Option sale to close-call <sup>25</sup>
	1.000	190.99	06/15/20	109.00	...	81.99	2 of 2 - Option sale to close-call <sup>25</sup>
06/16/20	2.000	381.98	Various	218.00	...	163.98	Total of 2 transactions
LYFT 07/17/2020 CALL \$31.50 / CUSIP: / Symbol:							
07/10/20	5.000	394.98	07/09/20	360.00	...	34.98	Option sale to close-call <sup>25</sup>
M 07/24/2020 CALL \$6.50 / CUSIP: / Symbol:							
06/16/20	3.000	608.97	06/15/20	375.00	...	233.97	Option sale to close-call <sup>25</sup>
MCD 07/24/2020 CALL \$202.50 / CUSIP: / Symbol:							
07/23/20	2.000	53.98	07/22/20	156.00	...	-102.02	Option sale to close-call <sup>25</sup>
MFA 06/19/2020 CALL \$3.00 / CUSIP: / Symbol:							
2 transactions for 06/16/20. Total proceeds and cost reported to the IRS.							
	3.000	77.98	06/15/20	105.00	...	-27.02	1 of 2 - Option sale to close-call <sup>25</sup>
	2.000	51.98	06/15/20	70.00	...	-18.02	2 of 2 - Option sale to close-call <sup>25</sup>
06/16/20	5.000	129.96	Various	175.00	...	-45.04	Total of 2 transactions
MGM 06/12/2020 CALL \$18.50 / CUSIP: / Symbol:							
2 transactions for 06/12/20. Total proceeds and cost reported to the IRS.							
	1.000	132.98	06/11/20	42.00	...	90.98	1 of 2 - Option sale to close-call <sup>25</sup>
	1.000	132.98	06/11/20	42.00	...	90.98	2 of 2 - Option sale to close-call <sup>25</sup>
06/12/20	2.000	265.96	Various	84.00	...	181.96	Total of 2 transactions
MRO 07/10/2020 CALL \$7.00 / CUSIP: / Symbol:							
2 transactions for 07/01/20. Total proceeds and cost reported to the IRS.							
	2.000	13.99	06/30/20	12.00	...	1.99	1 of 2 - Option sale to close-call <sup>25</sup>
	3.000	20.99	06/30/20	18.00	...	2.99	2 of 2 - Option sale to close-call <sup>25</sup>
07/01/20	5.000	34.98	Various	30.00	...	4.98	Total of 2 transactions

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## Proceeds from Broker and Barter Exchange Transactions

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

(continued)

02/14/2021

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MRO 07/31/2020 CALL \$7.50 / CUSIP: / Symbol:							
4 transactions for 07/16/20. Total proceeds and cost reported to the IRS.							
	7.000	20.98	06/24/20	546.01	...	-525.03	1 of 4 - Option sale to close-call <sup>25</sup>
	14.000	41.97	06/24/20	378.00	...	-336.03	2 of 4 - Option sale to close-call <sup>25</sup>
	1.000	2.98	06/24/20	78.00	...	-75.02	3 of 4 - Option sale to close-call <sup>25</sup>
	1.000	2.98	06/24/20	78.00	...	-75.02	4 of 4 - Option sale to close-call <sup>25</sup>
07/16/20	23.000	68.91	Various	1,080.01	...	-1,011.10	Total of 4 transactions
07/16/20	40.000	119.91	06/15/20	2,160.00	561.02 W	-1,479.07	Option sale to close-call <sup>25</sup>
07/17/20	2.000	3.98	06/24/20	156.01	...	-152.03	Option sale to close-call <sup>25</sup>
	<b>Security total:</b>	<b>192.80</b>		<b>3,396.02</b>	<b>561.02 W</b>	<b>-2,642.20</b>	
MSFT 07/10/2020 PUT \$210.00 / CUSIP: / Symbol:							
07/07/20	1.000	278.98	07/06/20	228.00	...	50.98	Option sale to close-put <sup>25</sup>
MSFT 07/17/2020 CALL \$217.50 / CUSIP: / Symbol:							
2 transactions for 07/08/20. Total proceeds and cost reported to the IRS.							
	1.000	186.99	07/07/20	174.00	...	12.99	1 of 2 - Option sale to close-call <sup>25</sup>
	1.000	186.99	07/07/20	174.00	...	12.99	2 of 2 - Option sale to close-call <sup>25</sup>
07/08/20	2.000	373.98	Various	348.00	...	25.98	Total of 2 transactions
2 transactions for 07/09/20. Total proceeds and cost reported to the IRS.							
	1.000	309.98	07/08/20	143.00	...	166.98	1 of 2 - Option sale to close-call <sup>25</sup>
	2.000	619.97	07/08/20	346.00	...	273.97	2 of 2 - Option sale to close-call <sup>25</sup>
07/09/20	3.000	929.95	Various	489.00	...	440.95	Total of 2 transactions
3 transactions for 07/10/20. Total proceeds and cost reported to the IRS.							
	1.000	259.98	07/09/20	208.00	...	51.98	1 of 3 - Option sale to close-call <sup>25</sup>
	4.000	1,039.96	07/09/20	832.00	...	207.96	2 of 3 - Option sale to close-call <sup>25</sup>
	20.000	4,519.86	07/10/20	3,700.00	...	819.86	3 of 3 - Option sale to close-call <sup>25</sup>
07/10/20	25.000	5,819.80	Various	4,740.00	...	1,079.80	Total of 3 transactions
07/13/20	20.000	4,579.85	07/10/20	4,120.00	...	459.85	Option sale to close-call <sup>25</sup>
8 transactions for 07/14/20. Total proceeds and cost reported to the IRS.							
	17.000	679.95	07/13/20	2,890.00	...	-2,210.05	1 of 8 - Option sale to close-call <sup>25</sup>
	4.000	159.99	07/13/20	808.00	...	-648.01	2 of 8 - Option sale to close-call <sup>25</sup>
	4.000	159.99	07/13/20	808.00	...	-648.01	3 of 8 - Option sale to close-call <sup>25</sup>
	6.000	239.98	07/13/20	594.00	...	-354.02	4 of 8 - Option sale to close-call <sup>25</sup>

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Robinhood Securities LLC

Account 132582909

## Proceeds from Broker and Barter Exchange Transactions

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

(continued)

02/14/2021

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
MSFT 07/17/2020 CALL \$217.50 / CUSIP: / Symbol: (cont'd)							
	1.000	40.00	07/13/20	364.02	...	-324.02	5 of 8 - Option sale to close-call <sup>25</sup>
	2.000	79.99	07/13/20	340.00	...	-260.01	6 of 8 - Option sale to close-call <sup>25</sup>
	2.000	79.99	07/13/20	236.00	...	-156.01	7 of 8 - Option sale to close-call <sup>25</sup>
	1.000	40.00	07/13/20	170.00	...	-130.00	8 of 8 - Option sale to close-call <sup>25</sup>
07/14/20	37.000	1,479.89	Various	6,210.02	...	-4,730.13	Total of 8 transactions
07/14/20	1.000	39.98	07/13/20	202.00	162.02 W	0.00	Option sale to close-call <sup>25</sup>
	<b>Security total:</b>	<b>13,223.45</b>		<b>16,109.02</b>	<b>162.02 W</b>	<b>-2,723.55</b>	
MSFT 07/17/2020 CALL \$220.00 / CUSIP: / Symbol:							
4 transactions for 07/13/20. Total proceeds and cost reported to the IRS.							
	3.000	479.99	07/09/20	537.00	...	-57.01	1 of 4 - Option sale to close-call <sup>25</sup>
	1.000	159.99	07/09/20	179.00	...	-19.01	2 of 4 - Option sale to close-call <sup>25</sup>
	1.000	159.99	07/09/20	179.00	...	-19.01	3 of 4 - Option sale to close-call <sup>25</sup>
	5.000	799.97	07/10/20	710.00	...	89.97	4 of 4 - Option sale to close-call <sup>25</sup>
07/13/20	10.000	1,599.94	Various	1,605.00	...	-5.06	Total of 4 transactions
MSFT 07/24/2020 CALL \$207.50 / CUSIP: / Symbol:							
3 transactions for 07/15/20. Total proceeds and cost reported to the IRS.							
	5.000	4,149.89	07/14/20	3,125.00	...	1,024.89	1 of 3 - Option sale to close-call <sup>25</sup>
	7.000	5,809.86	07/14/20	4,585.00	...	1,224.86	2 of 3 - Option sale to close-call <sup>25</sup>
	13.000	10,789.73	07/14/20	8,515.00	...	2,274.73	3 of 3 - Option sale to close-call <sup>25</sup>
07/15/20	25.000	20,749.48	Various	16,225.00	...	4,524.48	Total of 3 transactions
07/17/20	2.000	769.98	07/17/20	730.00	...	39.98	Option sale to close-call <sup>25</sup>
8 transactions for 07/17/20. Total proceeds and cost reported to the IRS.							
	2.000	769.98	07/15/20	1,650.00	880.02 W	0.00	1 of 8 - Option sale to close-call <sup>25</sup>
	1.000	384.99	07/15/20	825.00	440.01 W	0.00	2 of 8 - Option sale to close-call <sup>25</sup>
	7.000	2,694.92	07/15/20	5,775.00	3,080.08 W	0.00	3 of 8 - Option sale to close-call <sup>25</sup>
	1.000	384.99	07/15/20	825.00	440.01 W	0.00	4 of 8 - Option sale to close-call <sup>25</sup>
	1.000	384.99	07/15/20	825.00	440.01 W	0.00	5 of 8 - Option sale to close-call <sup>25</sup>
	8.000	3,079.91	07/15/20	6,600.00	3,520.09 W	0.00	6 of 8 - Option sale to close-call <sup>25</sup>
	2.000	769.98	07/15/20	1,560.00	790.02 W	0.00	7 of 8 - Option sale to close-call <sup>25</sup>
	1.000	384.99	07/15/20	780.00	395.01 W	0.00	8 of 8 - Option sale to close-call <sup>25</sup>
07/17/20	23.000	8,854.75	Various	18,840.00	9,985.25 W	0.00	Total of 8 transactions

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Robinhood Securities LLC

Account 132582909

## 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
MSFT 07/24/2020 CALL \$207.50 / CUSIP: / Symbol: (cont'd)							
12 transactions for 07/20/20. Total proceeds and cost reported to the IRS.							
	1.000	589.98	07/17/20	805.01	215.03 W	0.00	1 of 12 - Option sale to close-call <sub>25</sub>
	1.000	589.99	07/17/20	805.01	215.02 W	0.00	2 of 12 - Option sale to close-call <sub>25</sub>
	1.000	589.98	07/17/20	805.01	215.03 W	0.00	3 of 12 - Option sale to close-call <sub>25</sub>
	6.000	3,545.91	07/17/20	4,830.07	1,284.16 W	0.00	4 of 12 - Option sale to close-call <sub>25</sub>
	1.000	590.98	07/17/20	805.01	214.03 W	0.00	5 of 12 - Option sale to close-call <sub>25</sub>
	1.000	590.99	07/17/20	805.01	214.02 W	0.00	6 of 12 - Option sale to close-call <sub>25</sub>
	1.000	590.98	07/17/20	805.01	214.03 W	0.00	7 of 12 - Option sale to close-call <sub>25</sub>
	2.000	1,181.97	07/17/20	1,610.02	428.05 W	0.00	8 of 12 - Option sale to close-call <sub>25</sub>
	3.000	1,772.95	07/17/20	2,415.04	642.09 W	0.00	9 of 12 - Option sale to close-call <sub>25</sub>
	2.000	1,181.97	07/17/20	1,520.02	338.05 W	0.00	10 of 12 - Option sale to close-call <sub>25</sub>
	3.000	1,772.95	07/17/20	2,415.03	642.08 W	0.00	11 of 12 - Option sale to close-call <sub>25</sub>
	1.000	590.97	07/17/20	760.01	169.04 W	0.00	12 of 12 - Option sale to close-call <sub>25</sub>
07/20/20	23.000	13,589.62	Various	18,380.25	4,790.63 W	0.00	Total of 12 transactions
15 transactions for 07/21/20. Total proceeds and cost reported to the IRS.							
	1.000	701.98	07/20/20	800.03	98.05 W	0.00	1 of 15 - Option sale to close-call <sub>25</sub>
	1.000	701.98	07/20/20	800.02	98.04 W	0.00	2 of 15 - Option sale to close-call <sub>25</sub>
	1.000	701.98	07/20/20	800.03	98.05 W	0.00	3 of 15 - Option sale to close-call <sub>25</sub>

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Account 132582909

## 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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MSFT 07/24/2020 CALL \$207.50 / CUSIP: / Symbol: (cont'd)							
	1.000	701.98	07/20/20	799.03	97.05 W	0.00	4 of 15 - Option sale to close-call 25
	6.000	4,211.90	07/20/20	4,794.16	582.26 W	0.00	5 of 15 - Option sale to close-call 25
	1.000	701.99	07/20/20	784.02	82.03 W	0.00	6 of 15 - Option sale to close-call 25
	1.000	701.98	07/20/20	784.03	82.05 W	0.00	7 of 15 - Option sale to close-call 25
	1.000	701.98	07/20/20	784.03	82.05 W	0.00	8 of 15 - Option sale to close-call 25
	2.000	1,403.96	07/20/20	1,568.05	164.09 W	0.00	9 of 15 - Option sale to close-call 25
	2.000	1,403.97	07/20/20	1,556.06	152.09 W	0.00	10 of 15 - Option sale to close-call 25
	2.000	1,403.96	07/20/20	1,558.05	154.09 W	0.00	11 of 15 - Option sale to close-call 25
	1.000	701.98	07/20/20	774.03	72.05 W	0.00	12 of 15 - Option sale to close-call 25
	1.000	701.98	07/20/20	729.03	27.05 W	0.00	13 of 15 - Option sale to close-call 25
	1.000	701.99	07/20/20	724.02	22.03 W	0.00	14 of 15 - Option sale to close-call 25
	1.000	701.98	07/20/20	724.04	22.06 W	0.00	15 of 15 - Option sale to close-call 25
07/21/20	23.000	16,145.59	Various	17,978.63	1,833.04 W	0.00	Total of 15 transactions
	11 transactions for 07/22/20. Total proceeds and cost reported to the IRS.						
	2.000	1,429.96	07/21/20	1,724.09	...	-294.13	1 of 11 - Option sale to close-call 25
	2.000	1,429.97	07/21/20	1,674.09	...	-244.12	2 of 11 - Option sale to close-call 25
	1.000	714.98	07/21/20	862.05	...	-147.07	3 of 11 - Option sale to close-call 25
	1.000	714.98	07/21/20	862.05	...	-147.07	4 of 11 - Option sale to close-call 25

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Robinhood Securities LLC

Account 132582909

## 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
MSFT 07/24/2020 CALL \$207.50 / CUSIP: / Symbol: (cont'd)							
	1.000	714.98	07/21/20	862.04	...	-147.06	5 of 11 - Option sale to close-call <sup>25</sup>
	1.000	714.98	07/21/20	862.04	...	-147.06	6 of 11 - Option sale to close-call <sup>25</sup>
	1.000	714.98	07/21/20	862.04	...	-147.06	7 of 11 - Option sale to close-call <sup>25</sup>
	1.000	714.98	07/21/20	837.05	...	-122.07	8 of 11 - Option sale to close-call <sup>25</sup>
	1.000	714.99	07/21/20	837.05	...	-122.06	9 of 11 - Option sale to close-call <sup>25</sup>
	1.000	714.99	07/21/20	837.03	...	-122.04	10 of 11 - Option sale to close-call <sup>25</sup>
	1.000	714.98	07/21/20	801.05	...	-86.07	11 of 11 - Option sale to close-call <sup>25</sup>
07/22/20	13.000	9,294.77	Various	11,020.58	...	-1,725.81	Total of 11 transactions
	3 transactions for 07/22/20. Total proceeds and cost reported to the IRS.						
	1.000	714.97	07/21/20	863.05	148.08 W	0.00	1 of 3 - Option sale to close-call <sup>25</sup>
	1.000	714.98	07/21/20	863.05	148.07 W	0.00	2 of 3 - Option sale to close-call <sup>25</sup>
	1.000	714.98	07/21/20	863.04	148.06 W	0.00	3 of 3 - Option sale to close-call <sup>25</sup>
07/22/20	3.000	2,144.93	Various	2,589.14	444.21 W	0.00	Total of 3 transactions
	9 transactions for 07/23/20. Total proceeds and cost reported to the IRS.						
	2.000	439.98	07/21/20	1,604.09	...	-1,164.11	1 of 9 - Option sale to close-call <sup>25</sup>
	1.000	220.00	07/21/20	873.08	...	-653.08	2 of 9 - Option sale to close-call <sup>25</sup>
	1.000	219.99	07/21/20	873.06	...	-653.07	3 of 9 - Option sale to close-call <sup>25</sup>
	1.000	219.99	07/21/20	858.07	...	-638.08	4 of 9 - Option sale to close-call <sup>25</sup>
	1.000	220.98	07/21/20	801.04	...	-580.06	5 of 9 - Option sale to close-call <sup>25</sup>
	1.000	219.99	07/21/20	797.05	...	-577.06	6 of 9 - Option sale to close-call <sup>25</sup>
	1.000	219.99	07/21/20	752.05	...	-532.06	7 of 9 - Option sale to close-call <sup>25</sup>
	1.000	220.00	07/21/20	747.06	...	-527.06	8 of 9 - Option sale to close-call <sup>25</sup>
	1.000	219.99	07/21/20	747.03	...	-527.04	9 of 9 - Option sale to close-call <sup>25</sup>
07/23/20	10.000	2,200.91	Various	8,052.53	...	-5,851.62	Total of 9 transactions
	<b>Security total:</b>	<b>73,750.03</b>		<b>93,816.13</b>	<b>17,053.13 W</b>	<b>-3,012.97</b>	

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Account 132582909

## 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
MSFT 07/31/2020 CALL \$212.50 / CUSIP: / Symbol:							
07/20/20	1.000	444.98	07/16/20	445.00	...	-0.02	Option sale to close-call <sup>25</sup>
MSFT 08/07/2020 CALL \$210.00 / CUSIP: / Symbol:							
07/17/20	3.000	1,859.94	07/16/20	1,785.00	...	74.94	Option sale to close-call <sup>25</sup>
NFLX 07/24/2020 CALL \$500.00 / CUSIP: / Symbol:							
	2 transactions for 07/23/20. Total proceeds and cost reported to the IRS.						
	1.000	133.99	07/17/20	1,500.00	...	-1,366.01	1 of 2 - Option sale to close-call <sup>25</sup>
	1.000	133.99	07/20/20	740.00	...	-606.01	2 of 2 - Option sale to close-call <sup>25</sup>
07/23/20	2.000	267.98	Various	2,240.00	...	-1,972.02	Total of 2 transactions
NFLX 07/24/2020 CALL \$510.00 / CUSIP: / Symbol:							
07/23/20	1.000	36.98	07/17/20	945.00	...	-908.02	Option sale to close-call <sup>25</sup>
NIO 07/24/2020 CALL \$14.00 / CUSIP: / Symbol:							
	2 transactions for 07/23/20. Total proceeds and cost reported to the IRS.						
	1.000	9.99	07/16/20	66.00	...	-56.01	1 of 2 - Option sale to close-call <sup>25</sup>
	1.000	9.99	07/16/20	66.00	...	-56.01	2 of 2 - Option sale to close-call <sup>25</sup>
07/23/20	2.000	19.98	Various	132.00	...	-112.02	Total of 2 transactions
NKLA 07/10/2020 CALL \$41.00 / CUSIP: / Symbol:							
07/08/20	1.000	389.98	07/07/20	180.00	...	209.98	Option sale to close-call <sup>25</sup>
NKLA 07/10/2020 CALL \$50.00 / CUSIP: / Symbol:							
07/08/20	1.000	224.98	07/06/20	215.00	...	9.98	Option sale to close-call <sup>25</sup>
NKLA 07/24/2020 CALL \$44.00 / CUSIP: / Symbol:							
07/08/20	1.000	439.98	07/07/20	265.00	...	174.98	Option sale to close-call <sup>25</sup>
PLXS 07/17/2020 CALL \$70.00 / CUSIP: / Symbol:							
07/02/20	5.000	174.98	07/01/20	175.00	...	-0.02	Option sale to close-call <sup>25</sup>
PRGS 06/19/2020 CALL \$40.00 / CUSIP: / Symbol:							
06/16/20	3.000	179.98	06/15/20	105.00	...	74.98	Option sale to close-call <sup>25</sup>
PRGS 09/18/2020 CALL \$50.00 / CUSIP: / Symbol:							
06/22/20	10.000	449.97	06/19/20	450.00	...	-0.03	Option sale to close-call <sup>25</sup>

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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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QQQ 07/10/2020 PUT \$257.00 / CUSIP: / Symbol:							
07/07/20	1.000	263.98	07/06/20	259.00	...	4.98	Option sale to close-put <sup>25</sup>
ROKU 07/10/2020 PUT \$124.00 / CUSIP: / Symbol:							
07/02/20	1.000	334.98	07/01/20	310.00	...	24.98	Option sale to close-put <sup>25</sup>
ROKU 07/10/2020 PUT \$135.00 / CUSIP: / Symbol:							
07/07/20	1.000	559.97	07/06/20	415.00	...	144.97	Option sale to close-put <sup>25</sup>
ROKU 07/17/2020 CALL \$157.50 / CUSIP: / Symbol:							
4 transactions for 07/13/20. Total proceeds and cost reported to the IRS.							
	1.000	814.97	07/13/20	750.00	...	64.97	1 of 4 - Option sale to close-call <sup>25</sup>
	3.000	2,429.93	07/13/20	2,250.00	...	179.93	2 of 4 - Option sale to close-call <sup>25</sup>
	7.000	5,669.86	07/13/20	5,250.00	...	419.86	3 of 4 - Option sale to close-call <sup>25</sup>
	9.000	7,289.81	07/13/20	6,750.00	...	539.81	4 of 4 - Option sale to close-call <sup>25</sup>
07/13/20	20.000	16,204.57	Various	15,000.00	...	1,204.57	Total of 4 transactions
07/14/20	1.000	474.97	07/13/20	800.00	...	-325.03	Option sale to close-call <sup>25</sup>
	<b>Security total:</b>	<b>16,679.54</b>		<b>15,800.00</b>	...	<b>879.54</b>	
SAVE 06/19/2020 CALL \$17.50 / CUSIP: / Symbol:							
3 transactions for 06/18/20. Total proceeds and cost reported to the IRS.							
	1.000	250.98	06/15/20	150.00	...	100.98	1 of 3 - Option sale to close-call <sup>25</sup>
	2.000	501.97	06/15/20	300.00	...	201.97	2 of 3 - Option sale to close-call <sup>25</sup>
	2.000	501.97	06/15/20	300.00	...	201.97	3 of 3 - Option sale to close-call <sup>25</sup>
06/18/20	5.000	1,254.92	Various	750.00	...	504.92	Total of 3 transactions
SAVE 06/19/2020 CALL \$20.00 / CUSIP: / Symbol:							
2 transactions for 06/18/20. Total proceeds and cost reported to the IRS.							
	1.000	79.99	06/17/20	70.00	...	9.99	1 of 2 - Option sale to close-call <sup>25</sup>
	2.000	159.99	06/17/20	140.00	...	19.99	2 of 2 - Option sale to close-call <sup>25</sup>
06/18/20	3.000	239.98	Various	210.00	...	29.98	Total of 2 transactions
SAVE 07/17/2020 CALL \$15.00 / CUSIP: / Symbol:							
07/10/20	20.000	3,799.87	07/09/20	3,600.00	...	199.87	Option sale to close-call <sup>25</sup>

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Robinhood Securities LLC

Account 132582909

**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
SAVE 07/17/2020 CALL \$20.00 / CUSIP: / Symbol:							
06/12/20	5.000	1,269.96	06/11/20	975.00	...	294.96	Option sale to close-call <sup>25</sup>
	2 transactions for 07/10/20. Total proceeds and cost reported to the IRS.						
	1.000	40.98	07/07/20	30.00	...	10.98	1 of 2 - Option sale to close-call <sup>25</sup>
	2.000	81.98	07/07/20	60.00	...	21.98	2 of 2 - Option sale to close-call <sup>25</sup>
07/10/20	3.000	122.96	Various	90.00	...	32.96	Total of 2 transactions
	<b>Security total:</b>	<b>1,392.92</b>		<b>1,065.00</b>	...	<b>327.92</b>	
SAVE 07/17/2020 CALL \$22.50 / CUSIP: / Symbol:							
06/10/20	2.000	599.97	06/10/20	400.00	...	199.97	Option sale to close-call <sup>25</sup>
	2 transactions for 07/01/20. Total proceeds and cost reported to the IRS.						
	1.000	49.99	06/30/20	35.00	...	14.99	1 of 2 - Option sale to close-call <sup>25</sup>
	1.000	49.99	06/30/20	35.00	...	14.99	2 of 2 - Option sale to close-call <sup>25</sup>
07/01/20	2.000	99.98	Various	70.00	...	29.98	Total of 2 transactions
	<b>Security total:</b>	<b>699.95</b>		<b>470.00</b>	...	<b>229.95</b>	
SAVE 07/17/2020 CALL \$25.00 / CUSIP: / Symbol:							
07/17/20	2.000	0.00	06/18/20	250.00	...	-250.00	Option expiration- long call
SNAP 07/17/2020 CALL \$25.50 / CUSIP: / Symbol:							
	2 transactions for 07/13/20. Total proceeds and cost reported to the IRS.						
	1.000	101.99	07/10/20	67.00	...	34.99	1 of 2 - Option sale to close-call <sup>25</sup>
	2.000	203.99	07/10/20	134.00	...	69.99	2 of 2 - Option sale to close-call <sup>25</sup>
07/13/20	3.000	305.98	Various	201.00	...	104.98	Total of 2 transactions
SNAP 07/24/2020 CALL \$25.00 / CUSIP: / Symbol:							
	2 transactions for 07/13/20. Total proceeds and cost reported to the IRS.						
	1.000	247.98	07/10/20	190.00	...	57.98	1 of 2 - Option sale to close-call <sup>25</sup>
	1.000	247.98	07/10/20	190.00	...	57.98	2 of 2 - Option sale to close-call <sup>25</sup>
07/13/20	2.000	495.96	Various	380.00	...	115.96	Total of 2 transactions
	8 transactions for 07/17/20. Total proceeds and cost reported to the IRS.						
	1.000	154.98	07/16/20	149.00	...	5.98	1 of 8 - Option sale to close-call <sup>25</sup>
	1.000	154.98	07/16/20	149.00	...	5.98	2 of 8 - Option sale to close-call <sup>25</sup>
	1.000	154.99	07/16/20	149.00	...	5.99	3 of 8 - Option sale to close-call <sup>25</sup>
	1.000	154.99	07/16/20	149.00	...	5.99	4 of 8 - Option sale to close-call <sup>25</sup>

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Robinhood Securities LLC

Account 132582909

Proceeds from Broker and Barter Exchange Transactions

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

(continued)

02/14/2021

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SNAP 07/24/2020 CALL \$25.00 / CUSIP: / Symbol: (cont'd)							
	1.000	154.99	07/16/20	149.00	...	5.99	5 of 8 - Option sale to close-call <sup>25</sup>
	1.000	154.99	07/16/20	149.00	...	5.99	6 of 8 - Option sale to close-call <sup>25</sup>
	1.000	155.00	07/16/20	149.00	...	6.00	7 of 8 - Option sale to close-call <sup>25</sup>
	1.000	155.00	07/16/20	149.00	...	6.00	8 of 8 - Option sale to close-call <sup>25</sup>
07/17/20	8.000	1,239.92	Various	1,192.00	...	47.92	Total of 8 transactions
	<b>Security total:</b>	<b>1,735.88</b>		<b>1,572.00</b>	...	<b>163.88</b>	
SOXX 07/17/2020 PUT \$270.00 / CUSIP: / Symbol:							
07/07/20	1.000	309.98	07/06/20	310.00	...	-0.02	Option sale to close-put <sup>25</sup>
SPY 07/17/2020 PUT \$315.00 / CUSIP: / Symbol:							
07/13/20	1.000	224.98	07/10/20	283.00	...	-58.02	Option sale to close-put <sup>25</sup>
SPY 07/24/2020 PUT \$328.00 / CUSIP: / Symbol:							
07/23/20	3.000	617.97	07/22/20	930.00	...	-312.03	Option sale to close-put <sup>25</sup>
SPY 07/27/2020 CALL \$323.00 / CUSIP: / Symbol:							
07/23/20	2.000	887.97	07/22/20	782.00	...	105.97	Option sale to close-call <sup>25</sup>
SQ 07/10/2020 PUT \$117.00 / CUSIP: / Symbol:							
07/02/20	1.000	464.97	07/01/20	460.00	...	4.97	Option sale to close-put <sup>25</sup>
SQ 07/10/2020 PUT \$124.00 / CUSIP: / Symbol:							
07/09/20	1.000	46.98	07/07/20	167.00	...	-120.02	Option sale to close-put <sup>25</sup>
SQ 07/10/2020 PUT \$125.00 / CUSIP: / Symbol:							
07/07/20	1.000	374.98	07/06/20	315.00	...	59.98	Option sale to close-put <sup>25</sup>
SQ 07/17/2020 CALL \$127.00 / CUSIP: / Symbol:							
	2 transactions for 07/13/20. Total proceeds and cost reported to the IRS.						
	4.000	2,779.93	07/10/20	1,772.00	...	1,007.93	1 of 2 - Option sale to close-call <sup>25</sup>
	6.000	4,169.89	07/10/20	2,652.00	...	1,517.89	2 of 2 - Option sale to close-call <sup>25</sup>
07/13/20	10.000	6,949.82	Various	4,424.00	...	2,525.82	Total of 2 transactions

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Robinhood Securities LLC

Account 132582909

Proceeds from Broker and Barter Exchange Transactions

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

(continued)

02/14/2021

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SQ 07/17/2020 CALL \$128.00 / CUSIP: / Symbol:							
3 transactions for 07/14/20. Total proceeds and cost reported to the IRS.							
	1.000	188.99	07/13/20	566.02	...	-377.03	1 of 3 - Option sale to close-call <sup>25</sup>
	1.000	188.99	07/13/20	430.00	...	-241.01	2 of 3 - Option sale to close-call <sup>25</sup>
	1.000	188.99	07/13/20	325.00	...	-136.01	3 of 3 - Option sale to close-call <sup>25</sup>
07/14/20	3.000	566.97	Various	1,321.02	...	-754.05	Total of 3 transactions
07/14/20	1.000	188.98	07/13/20	430.00	241.02 W	0.00	Option sale to close-call <sup>25</sup>
	<b>Security total:</b>	<b>755.95</b>		<b>1,751.02</b>	<b>241.02 W</b>	<b>-754.05</b>	
SRNE 07/17/2020 PUT \$5.50 / CUSIP: / Symbol:							
4 transactions for 07/15/20. Total proceeds and cost reported to the IRS.							
	1.000	5.99	07/01/20	64.01	...	-58.02	1 of 4 - Option sale to close-put <sup>25</sup>
	1.000	5.98	07/01/20	35.00	...	-29.02	2 of 4 - Option sale to close-put <sup>25</sup>
	1.000	5.99	07/01/20	35.00	...	-29.01	3 of 4 - Option sale to close-put <sup>25</sup>
	1.000	5.99	07/01/20	35.00	...	-29.01	4 of 4 - Option sale to close-put <sup>25</sup>
07/15/20	4.000	23.95	Various	169.01	...	-145.06	Total of 4 transactions
07/15/20	1.000	5.99	07/01/20	35.00	29.01 W	0.00	Option sale to close-put <sup>25</sup>
	<b>Security total:</b>	<b>29.94</b>		<b>204.01</b>	<b>29.01 W</b>	<b>-145.06</b>	
SRTY 07/17/2020 CALL \$12.00 / CUSIP: / Symbol:							
07/17/20	10.000	0.00	07/14/20	300.00	...	-300.00	Option expiration- long call
T 07/10/2020 CALL \$30.50 / CUSIP: / Symbol:							
2 transactions for 07/07/20. Total proceeds and cost reported to the IRS.							
	1.000	20.98	07/06/20	20.00	...	0.98	1 of 2 - Option sale to close-call <sup>25</sup>
	9.000	188.97	07/06/20	180.00	...	8.97	2 of 2 - Option sale to close-call <sup>25</sup>
07/07/20	10.000	209.95	Various	200.00	...	9.95	Total of 2 transactions
TEVA 07/17/2020 CALL \$12.50 / CUSIP: / Symbol:							
2 transactions for 07/13/20. Total proceeds and cost reported to the IRS.							
	5.000	34.98	07/06/20	60.00	...	-25.02	1 of 2 - Option sale to close-call <sup>25</sup>
	5.000	34.99	07/06/20	60.00	...	-25.01	2 of 2 - Option sale to close-call <sup>25</sup>
07/13/20	10.000	69.97	Various	120.00	...	-50.03	Total of 2 transactions

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Account 132582909

## Proceeds from Broker and Barter Exchange Transactions

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

(continued)

02/14/2021

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TSLA 07/24/2020 CALL \$1,570.00 / CUSIP: / Symbol:							
5 transactions for 07/23/20. Total proceeds and cost reported to the IRS.							
	1.000	6,099.86	07/23/20	5,890.00	...	209.86	1 of 5 - Option sale to close-call <sup>25</sup>
	1.000	6,099.86	07/23/20	5,890.00	...	209.86	2 of 5 - Option sale to close-call <sup>25</sup>
	1.000	6,099.86	07/23/20	5,890.00	...	209.86	3 of 5 - Option sale to close-call <sup>25</sup>
	2.000	9,069.78	07/23/20	8,140.00	...	929.78	4 of 5 - Option sale to close-call <sup>25</sup>
	3.000	15,293.65	07/23/20	12,750.00	...	2,543.65	5 of 5 - Option sale to close-call <sup>25</sup>
07/23/20	8.000	42,663.01	Various	38,560.00	...	4,103.01	Total of 5 transactions
TSLA 07/24/2020 CALL \$1,580.00 / CUSIP: / Symbol:							
2 transactions for 07/21/20. Total proceeds and cost reported to the IRS.							
	1.000	12,899.70	07/21/20	12,625.00	...	274.70	1 of 2 - Option sale to close-call <sup>25</sup>
	1.000	12,889.70	07/21/20	11,680.00	...	1,209.70	2 of 2 - Option sale to close-call <sup>25</sup>
07/21/20	2.000	25,789.40	Various	24,305.00	...	1,484.40	Total of 2 transactions
TSLA 07/24/2020 CALL \$1,600.00 / CUSIP: / Symbol:							
32 transactions for 07/23/20. Total proceeds and cost reported to the IRS.							
	3.000	1,859.95	07/23/20	2,367.10	...	-507.15	1 of 32 - Option sale to close-call <sup>25</sup>
	2.000	1,239.97	07/23/20	1,738.21	...	-498.24	2 of 32 - Option sale to close-call <sup>25</sup>
	2.000	1,239.97	07/23/20	1,580.07	...	-340.10	3 of 32 - Option sale to close-call <sup>25</sup>
	1.000	619.98	07/23/20	895.14	...	-275.16	4 of 32 - Option sale to close-call <sup>25</sup>
	1.000	619.99	07/23/20	894.14	...	-274.15	5 of 32 - Option sale to close-call <sup>25</sup>
	1.000	619.98	07/23/20	810.10	...	-190.12	6 of 32 - Option sale to close-call <sup>25</sup>
	1.000	619.98	07/23/20	790.05	...	-170.07	7 of 32 - Option sale to close-call <sup>25</sup>
	1.000	619.99	07/23/20	790.05	...	-170.06	8 of 32 - Option sale to close-call <sup>25</sup>
	1.000	619.98	07/23/20	789.05	...	-169.07	9 of 32 - Option sale to close-call <sup>25</sup>

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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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TSLA 07/24/2020 CALL \$1,600.00 / CUSIP: / Symbol: (cont'd)							
	1.000	619.98	07/23/20	789.04	...	-169.06	10 of 32 - Option sale to close-call 25
	1.000	619.98	07/23/20	770.01	...	-150.03	11 of 32 - Option sale to close-call 25
	2.000	1,059.96	07/23/20	1,050.07	...	9.89	12 of 32 - Option sale to close-call 25
	1.000	529.98	07/23/20	510.06	...	19.92	13 of 32 - Option sale to close-call 25
	1.000	529.98	07/23/20	510.06	...	19.92	14 of 32 - Option sale to close-call 25
	1.000	529.98	07/23/20	510.06	...	19.92	15 of 32 - Option sale to close-call 25
	1.000	714.97	07/23/20	690.00	...	24.97	16 of 32 - Option sale to close-call 25
	1.000	714.97	07/23/20	690.00	...	24.97	17 of 32 - Option sale to close-call 25
	1.000	714.98	07/23/20	690.00	...	24.98	18 of 32 - Option sale to close-call 25
	1.000	714.98	07/23/20	690.00	...	24.98	19 of 32 - Option sale to close-call 25
	2.000	1,529.96	07/23/20	1,500.00	...	29.96	20 of 32 - Option sale to close-call 25
	1.000	714.97	07/23/20	680.00	...	34.97	21 of 32 - Option sale to close-call 25
	1.000	529.98	07/23/20	490.00	...	39.98	22 of 32 - Option sale to close-call 25
	3.000	2,294.94	07/23/20	2,250.00	...	44.94	23 of 32 - Option sale to close-call 25
	2.000	1,429.95	07/23/20	1,380.00	...	49.95	24 of 32 - Option sale to close-call 25
	2.000	1,429.95	07/23/20	1,380.00	...	49.95	25 of 32 - Option sale to close-call 25
	2.000	1,059.96	07/23/20	980.00	...	79.96	26 of 32 - Option sale to close-call 25

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

(continued)

02/14/2021

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TSLA 07/24/2020 CALL \$1,600.00 / CUSIP: / Symbol: (cont'd)							
	1.000	779.98	07/23/20	680.00	...	99.98	27 of 32 - Option sale to close-call <sub>25</sub>
	1.000	779.98	07/23/20	680.00	...	99.98	28 of 32 - Option sale to close-call <sub>25</sub>
	10.000	4,949.87	07/23/20	4,800.00	...	149.87	29 of 32 - Option sale to close-call <sub>25</sub>
	2.000	1,559.96	07/23/20	1,360.00	...	199.96	30 of 32 - Option sale to close-call <sub>25</sub>
	5.000	6,824.83	07/23/20	6,500.00	...	324.83	31 of 32 - Option sale to close-call <sub>25</sub>
	5.000	3,899.90	07/23/20	3,400.00	...	499.90	32 of 32 - Option sale to close-call <sub>25</sub>
07/23/20	61.000	42,593.78	Various	43,633.21	...	-1,039.43	Total of 32 transactions
	40 transactions for 07/23/20. Total proceeds and cost reported to the IRS.						
	1.000	599.97	07/23/20	685.00	85.03 W	0.00	1 of 40 - Option sale to close-call <sub>25</sub>
	1.000	599.97	07/23/20	685.00	85.03 W	0.00	2 of 40 - Option sale to close-call <sub>25</sub>
	4.000	2,399.94	07/23/20	2,740.00	340.06 W	0.00	3 of 40 - Option sale to close-call <sub>25</sub>
	1.000	599.98	07/23/20	770.03	170.05 W	0.00	4 of 40 - Option sale to close-call <sub>25</sub>
	1.000	599.98	07/23/20	770.03	170.05 W	0.00	5 of 40 - Option sale to close-call <sub>25</sub>
	2.000	1,199.97	07/23/20	1,370.00	170.03 W	0.00	6 of 40 - Option sale to close-call <sub>25</sub>
	1.000	494.99	07/23/20	655.02	160.03 W	0.00	7 of 40 - Option sale to close-call <sub>25</sub>
	1.000	494.99	07/23/20	740.05	245.06 W	0.00	8 of 40 - Option sale to close-call <sub>25</sub>
	1.000	494.99	07/23/20	740.05	245.06 W	0.00	9 of 40 - Option sale to close-call <sub>25</sub>
	2.000	989.97	07/23/20	1,310.03	320.06 W	0.00	10 of 40 - Option sale to close-call <sub>25</sub>

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TSLA 07/24/2020 CALL \$1,600.00 / CUSIP: / Symbol: (cont'd)							
	3.000	1,484.96	07/23/20	1,965.04	480.08 W	0.00	11 of 40 - Option sale to close-call 25
	2.000	989.97	07/23/20	1,140.00	150.03 W	0.00	12 of 40 - Option sale to close-call 25
	1.000	599.99	07/23/20	660.03	60.04 W	0.00	13 of 40 - Option sale to close-call 25
	1.000	599.99	07/23/20	745.06	145.07 W	0.00	14 of 40 - Option sale to close-call 25
	1.000	599.98	07/23/20	745.06	145.08 W	0.00	15 of 40 - Option sale to close-call 25
	3.000	1,799.95	07/23/20	1,980.08	180.13 W	0.00	16 of 40 - Option sale to close-call 25
	2.000	1,059.96	07/23/20	1,300.06	240.10 W	0.00	17 of 40 - Option sale to close-call 25
	2.000	1,059.96	07/23/20	1,130.03	70.07 W	0.00	18 of 40 - Option sale to close-call 25
	1.000	529.98	07/23/20	550.04	20.06 W	0.00	19 of 40 - Option sale to close-call 25
	1.000	529.98	07/23/20	550.04	20.06 W	0.00	20 of 40 - Option sale to close-call 25
	1.000	529.98	07/23/20	550.04	20.06 W	0.00	21 of 40 - Option sale to close-call 25
	1.000	529.98	07/23/20	550.04	20.06 W	0.00	22 of 40 - Option sale to close-call 25
	1.000	529.98	07/23/20	635.07	105.09 W	0.00	23 of 40 - Option sale to close-call 25
	1.000	529.98	07/23/20	635.08	105.10 W	0.00	24 of 40 - Option sale to close-call 25
	2.000	1,059.96	07/23/20	1,220.10	160.14 W	0.00	25 of 40 - Option sale to close-call 25
	1.000	649.98	07/23/20	760.06	110.08 W	0.00	26 of 40 - Option sale to close-call 25
	1.000	649.98	07/23/20	845.09	195.11 W	0.00	27 of 40 - Option sale to close-call 25

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Robinhood Securities LLC

Account 132582909

## 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
TSLA 07/24/2020 CALL \$1,600.00 / CUSIP: / Symbol: (cont'd)							
	1.000	649.98	07/23/20	845.10	195.12 W	0.00	28 of 40 - Option sale to close-call <sup>25</sup>
	2.000	1,299.97	07/23/20	1,640.14	340.17 W	0.00	29 of 40 - Option sale to close-call <sup>25</sup>
	10.000	6,499.84	07/23/20	7,400.00	900.16 W	0.00	30 of 40 - Option sale to close-call <sup>25</sup>
	1.000	724.98	07/23/20	855.08	130.10 W	0.00	31 of 40 - Option sale to close-call <sup>25</sup>
	1.000	724.97	07/23/20	940.11	215.14 W	0.00	32 of 40 - Option sale to close-call <sup>25</sup>
	1.000	724.98	07/23/20	939.12	214.14 W	0.00	33 of 40 - Option sale to close-call <sup>25</sup>
	2.000	1,449.96	07/23/20	1,828.17	378.21 W	0.00	34 of 40 - Option sale to close-call <sup>25</sup>
	1.000	724.98	07/23/20	834.02	109.04 W	0.00	35 of 40 - Option sale to close-call <sup>25</sup>
	1.000	724.97	07/23/20	834.02	109.05 W	0.00	36 of 40 - Option sale to close-call <sup>25</sup>
	3.000	2,174.94	07/23/20	2,502.04	327.10 W	0.00	37 of 40 - Option sale to close-call <sup>25</sup>
	2.000	1,449.96	07/23/20	1,670.03	220.07 W	0.00	38 of 40 - Option sale to close-call <sup>25</sup>
	1.000	724.97	07/23/20	835.02	110.05 W	0.00	39 of 40 - Option sale to close-call <sup>25</sup>
	1.000	724.97	07/23/20	835.02	110.05 W	0.00	40 of 40 - Option sale to close-call <sup>25</sup>
07/23/20	67.000	40,808.78	Various	48,384.00	7,575.22 W	0.00	Total of 40 transactions
	<b>Security total:</b>	<b>83,402.56</b>		<b>92,017.21</b>	<b>7,575.22 W</b>	<b>-1,039.43</b>	

TSLA 07/24/2020 CALL \$1,620.00 / CUSIP: / Symbol:

5 transactions for 07/23/20. Total proceeds and cost reported to the IRS.

2.000	1,629.96	07/23/20	7,260.57	...	-5,630.61	1 of 5 - Option sale to close-call <sup>25</sup>
1.000	814.98	07/23/20	3,345.29	...	-2,530.31	2 of 5 - Option sale to close-call <sup>25</sup>
1.000	814.98	07/23/20	3,345.29	...	-2,530.31	3 of 5 - Option sale to close-call <sup>25</sup>
1.000	814.98	07/23/20	2,490.20	...	-1,675.22	4 of 5 - Option sale to close-call <sup>25</sup>

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Robinhood Securities LLC

Account 132582909

**Proceeds from Broker and Barter Exchange Transactions**

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

(continued)

02/14/2021

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
TSLA 07/24/2020 CALL \$1,620.00 / CUSIP: / Symbol: (cont'd)							
	1.000	814.98	07/23/20	715.00	...	99.98	5 of 5 - Option sale to close-call <sup>25</sup>
07/23/20	6.000	4,889.88	Various	17,156.35	...	-12,266.47	Total of 5 transactions
	18 transactions for 07/23/20. Total proceeds and cost reported to the IRS.						
	3.000	10,889.75	07/23/20	11,580.00	690.25 W	0.00	1 of 18 - Option sale to close-call <sup>25</sup>
	1.000	3,629.91	07/23/20	3,860.00	230.09 W	0.00	2 of 18 - Option sale to close-call <sup>25</sup>
	2.000	5,919.86	07/23/20	8,590.17	2,670.31 W	0.00	3 of 18 - Option sale to close-call <sup>25</sup>
	1.000	2,959.93	07/23/20	4,010.08	1,050.15 W	0.00	4 of 18 - Option sale to close-call <sup>25</sup>
	1.000	2,959.93	07/23/20	4,010.09	1,050.16 W	0.00	5 of 18 - Option sale to close-call <sup>25</sup>
	1.000	2,959.94	07/23/20	3,465.00	505.06 W	0.00	6 of 18 - Option sale to close-call <sup>25</sup>
	1.000	2,404.94	07/23/20	4,000.15	1,595.21 W	0.00	7 of 18 - Option sale to close-call <sup>25</sup>
	1.000	2,404.94	07/23/20	4,000.16	1,595.22 W	0.00	8 of 18 - Option sale to close-call <sup>25</sup>
	2.000	4,809.89	07/23/20	8,570.31	3,760.42 W	0.00	9 of 18 - Option sale to close-call <sup>25</sup>
	1.000	2,404.95	07/23/20	3,145.06	740.11 W	0.00	10 of 18 - Option sale to close-call <sup>25</sup>
	1.000	1,939.95	07/23/20	4,060.21	2,120.26 W	0.00	11 of 18 - Option sale to close-call <sup>25</sup>
	1.000	1,939.96	07/23/20	4,060.22	2,120.26 W	0.00	12 of 18 - Option sale to close-call <sup>25</sup>
	1.000	1,939.95	07/23/20	3,205.11	1,265.16 W	0.00	13 of 18 - Option sale to close-call <sup>25</sup>
	2.000	3,879.91	07/23/20	8,690.42	4,810.51 W	0.00	14 of 18 - Option sale to close-call <sup>25</sup>
	1.000	1,319.97	07/23/20	3,950.26	2,630.29 W	0.00	15 of 18 - Option sale to close-call <sup>25</sup>
	1.000	1,319.97	07/23/20	3,950.26	2,630.29 W	0.00	16 of 18 - Option sale to close-call <sup>25</sup>

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Robinhood Securities LLC

Account 132582909

## 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
TSLA 07/24/2020 CALL \$1,620.00 / CUSIP: / Symbol: (cont'd)							
	1.000	1,319.96	07/23/20	3,095.16	1,775.20 W	0.00	17 of 18 - Option sale to close-call <sup>25</sup>
	2.000	2,639.94	07/23/20	8,470.51	5,830.57 W	0.00	18 of 18 - Option sale to close-call <sup>25</sup>
07/23/20	24.000	57,643.65	Various	94,713.17	37,069.52 W	0.00	Total of 18 transactions
	<b>Security total:</b>	<b>62,533.53</b>		<b>111,869.52</b>	<b>37,069.52 W</b>	<b>-12,266.47</b>	
TSLA 07/24/2020 CALL \$1,650.00 / CUSIP: / Symbol:							
7 transactions for 07/23/20. Total proceeds and cost reported to the IRS.							
	1.000	1,529.96	07/23/20	4,760.00	...	-3,230.04	1 of 7 - Option sale to close-call <sup>25</sup>
	1.000	1,529.96	07/23/20	4,760.00	...	-3,230.04	2 of 7 - Option sale to close-call <sup>25</sup>
	1.000	1,529.96	07/23/20	4,350.00	...	-2,820.04	3 of 7 - Option sale to close-call <sup>25</sup>
	1.000	1,529.96	07/23/20	3,315.00	...	-1,785.04	4 of 7 - Option sale to close-call <sup>25</sup>
	2.000	3,059.93	07/23/20	4,360.00	...	-1,300.07	5 of 7 - Option sale to close-call <sup>25</sup>
	1.000	1,529.96	07/23/20	2,180.00	...	-650.04	6 of 7 - Option sale to close-call <sup>25</sup>
	1.000	1,529.97	07/23/20	2,180.00	...	-650.03	7 of 7 - Option sale to close-call <sup>25</sup>
07/23/20	8.000	12,239.70	Various	25,905.00	...	-13,665.30	Total of 7 transactions
TSLA 07/24/2020 CALL \$1,660.00 / CUSIP: / Symbol:							
5 transactions for 07/23/20. Total proceeds and cost reported to the IRS.							
	1.000	2,749.92	07/23/20	2,595.00	...	154.92	1 of 5 - Option sale to close-call <sup>25</sup>
	1.000	2,749.92	07/23/20	2,595.00	...	154.92	2 of 5 - Option sale to close-call <sup>25</sup>
	1.000	2,749.92	07/23/20	2,595.00	...	154.92	3 of 5 - Option sale to close-call <sup>25</sup>
	1.000	2,749.92	07/23/20	2,595.00	...	154.92	4 of 5 - Option sale to close-call <sup>25</sup>
	1.000	2,759.92	07/23/20	2,595.00	...	164.92	5 of 5 - Option sale to close-call <sup>25</sup>
07/23/20	5.000	13,759.60	Various	12,975.00	...	784.60	Total of 5 transactions
TSLA 07/24/2020 CALL \$1,820.00 / CUSIP: / Symbol:							
07/22/20	1.000	4,999.87	07/21/20	4,555.00	...	444.87	Option sale to close-call <sup>25</sup>
TSLA 07/24/2020 CALL \$1,880.00 / CUSIP: / Symbol:							
07/21/20	1.000	4,044.90	07/21/20	3,975.00	...	69.90	Option sale to close-call <sup>25</sup>

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Robinhood Securities LLC

Account 132582909

Proceeds from Broker and Barter Exchange Transactions

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

(continued)

02/14/2021

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
TSLA 07/24/2020 CALL \$1,900.00 / CUSIP: / Symbol:							
07/23/20	1.000	123.98	07/21/20	4,115.00	3,991.02 W	0.00	Option sale to close-call <sup>25</sup>
07/24/20	1.000	0.00	07/23/20	4,126.02	...	-4,126.02	Option expiration- long call
	<b>Security total:</b>	<b>123.98</b>		<b>8,241.02</b>	<b>3,991.02 W</b>	<b>-4,126.02</b>	
TSLA 07/24/2020 CALL \$1,990.00 / CUSIP: / Symbol:							
07/21/20	1.000	2,224.94	07/21/20	2,195.00	...	29.94	Option sale to close-call <sup>25</sup>
TSLA 07/24/2020 CALL \$2,000.00 / CUSIP: / Symbol:							
07/21/20	1.000	2,454.93	07/21/20	2,212.00	...	242.93	Option sale to close-call <sup>25</sup>
TSLA 07/24/2020 PUT \$1,490.00 / CUSIP: / Symbol:							
<i>19 transactions for 07/23/20. Total proceeds and cost reported to the IRS.</i>							
	1.000	1,899.96	07/23/20	2,144.14	...	-244.18	1 of 19 - Option sale to close-put <sup>25</sup>
	1.000	1,899.95	07/23/20	2,080.00	...	-180.05	2 of 19 - Option sale to close-put <sup>25</sup>
	1.000	1,899.95	07/23/20	2,080.00	...	-180.05	3 of 19 - Option sale to close-put <sup>25</sup>
	1.000	1,899.96	07/23/20	2,080.00	...	-180.04	4 of 19 - Option sale to close-put <sup>25</sup>
	1.000	1,899.96	07/23/20	2,080.00	...	-180.04	5 of 19 - Option sale to close-put <sup>25</sup>
	1.000	2,214.95	07/23/20	2,194.04	...	20.91	6 of 19 - Option sale to close-put <sup>25</sup>
	1.000	2,389.94	07/23/20	2,355.12	...	34.82	7 of 19 - Option sale to close-put <sup>25</sup>
	5.000	6,249.85	07/23/20	6,175.00	...	74.85	8 of 19 - Option sale to close-put <sup>25</sup>
	1.000	3,599.91	07/23/20	3,505.00	...	94.91	9 of 19 - Option sale to close-put <sup>25</sup>
	1.000	3,599.91	07/23/20	3,505.00	...	94.91	10 of 19 - Option sale to close-put <sup>25</sup>
	1.000	2,229.94	07/23/20	2,089.17	...	140.77	11 of 19 - Option sale to close-put <sup>25</sup>
	1.000	1,899.94	07/23/20	1,750.00	...	149.94	12 of 19 - Option sale to close-put <sup>25</sup>
	1.000	1,899.94	07/23/20	1,750.00	...	149.94	13 of 19 - Option sale to close-put <sup>25</sup>
	1.000	1,899.94	07/23/20	1,750.00	...	149.94	14 of 19 - Option sale to close-put <sup>25</sup>
	1.000	2,389.94	07/23/20	2,235.06	...	154.88	15 of 19 - Option sale to close-put <sup>25</sup>
	1.000	2,229.94	07/23/20	2,074.00	...	155.94	16 of 19 - Option sale to close-put <sup>25</sup>

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Account 132582909

**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
TSLA 07/24/2020 PUT \$1,490.00 / CUSIP: / Symbol: (cont'd)							
	2.000	3,799.90	07/23/20	3,500.00	...	299.90	17 of 19 - Option sale to close-put <sup>25</sup>
	3.000	6,644.84	07/23/20	5,697.00	...	947.84	18 of 19 - Option sale to close-put <sup>25</sup>
	5.000	9,324.78	07/23/20	8,200.00	...	1,124.78	19 of 19 - Option sale to close-put <sup>25</sup>
07/23/20	30.000	59,873.50	Various	57,243.53	...	2,629.97	Total of 19 transactions
	7 transactions for 07/23/20. Total proceeds and cost reported to the IRS.						
	2.000	4,999.88	07/23/20	5,440.00	440.12 W	0.00	1 of 7 - Option sale to close-put <sup>25</sup>
	1.000	2,499.94	07/23/20	2,545.00	45.06 W	0.00	2 of 7 - Option sale to close-put <sup>25</sup>
	2.000	4,209.89	07/23/20	4,540.12	330.23 W	0.00	3 of 7 - Option sale to close-put <sup>25</sup>
	1.000	2,229.94	07/23/20	2,245.11	15.17 W	0.00	4 of 7 - Option sale to close-put <sup>25</sup>
	2.000	3,029.92	07/23/20	3,620.00	590.08 W	0.00	5 of 7 - Option sale to close-put <sup>25</sup>
	1.000	1,514.95	07/23/20	1,895.04	380.09 W	0.00	6 of 7 - Option sale to close-put <sup>25</sup>
	1.000	2,214.95	07/23/20	2,279.09	64.14 W	0.00	7 of 7 - Option sale to close-put <sup>25</sup>
07/23/20	10.000	20,699.47	Various	22,564.36	1,864.89 W	0.00	Total of 7 transactions
	<b>Security total:</b>	<b>80,572.97</b>		<b>79,807.89</b>	<b>1,864.89 W</b>	<b>2,629.97</b>	
TSLA 07/31/2020 PUT \$1,325.00 / CUSIP: / Symbol:							
07/24/20	1.000	2,689.93	07/24/20	3,505.00	...	-815.07	Option sale to close-put <sup>25</sup>
UBER 06/05/2020 CALL \$34.50 / CUSIP: / Symbol:							
05/20/20	2.000	341.98	05/19/20	294.00	...	47.98	Option sale to close-call <sup>25</sup>
UBER 07/10/2020 CALL \$31.00 / CUSIP: / Symbol:							
07/02/20	10.000	989.95	07/01/20	730.00	...	259.95	Option sale to close-call <sup>25</sup>
UBER 07/17/2020 CALL \$33.50 / CUSIP: / Symbol:							
07/08/20	2.000	217.98	07/07/20	192.00	...	25.98	Option sale to close-call <sup>25</sup>
UNFI 11/20/2020 CALL \$20.00 / CUSIP: / Symbol:							
07/07/20	1.000	359.98	06/10/20	370.00	...	-10.02	Option sale to close-call <sup>25</sup>

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Account 132582909

**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
WBA 07/10/2020 CALL \$42.00 / CUSIP: / Symbol:							
3 transactions for 07/09/20. Total proceeds and cost reported to the IRS.							
	5.000	24.99	07/08/20	725.00	...	-700.01	1 of 3 - Option sale to close-call <sup>25</sup>
	1.000	4.99	07/08/20	131.00	...	-126.01	2 of 3 - Option sale to close-call <sup>25</sup>
	1.000	5.00	07/08/20	131.00	...	-126.00	3 of 3 - Option sale to close-call <sup>25</sup>
07/09/20	7.000	34.98	Various	987.00	...	-952.02	Total of 3 transactions
WBA 07/10/2020 CALL \$42.50 / CUSIP: / Symbol:							
2 transactions for 07/09/20. Total proceeds and cost reported to the IRS.							
	4.000	15.98	07/08/20	432.00	...	-416.02	1 of 2 - Option sale to close-call <sup>25</sup>
	1.000	3.98	07/08/20	108.00	...	-104.02	2 of 2 - Option sale to close-call <sup>25</sup>
07/09/20	5.000	19.96	Various	540.00	...	-520.04	Total of 2 transactions
WBA 07/10/2020 CALL \$43.00 / CUSIP: / Symbol:							
07/09/20	2.000	5.98	07/08/20	236.00	...	-230.02	Option sale to close-call <sup>25</sup>
WBA 07/10/2020 PUT \$40.50 / CUSIP: / Symbol:							
07/09/20	10.000	1,509.94	07/09/20	1,280.00	...	229.94	Option sale to close-put <sup>25</sup>
WBA 07/17/2020 CALL \$42.50 / CUSIP: / Symbol:							
07/15/20	10.000	59.97	07/08/20	1,390.00	...	-1,330.03	Option sale to close-call <sup>25</sup>
WORK 07/02/2020 CALL \$34.50 / CUSIP: / Symbol:							
4 transactions for 06/25/20. Total proceeds and cost reported to the IRS.							
	1.000	59.98	06/24/20	54.00	...	5.98	1 of 4 - Option sale to close-call <sup>25</sup>
	1.000	59.99	06/24/20	54.00	...	5.99	2 of 4 - Option sale to close-call <sup>25</sup>
	1.000	60.00	06/24/20	54.00	...	6.00	3 of 4 - Option sale to close-call <sup>25</sup>
	2.000	119.99	06/24/20	108.00	...	11.99	4 of 4 - Option sale to close-call <sup>25</sup>
06/25/20	5.000	299.96	Various	270.00	...	29.96	Total of 4 transactions
ACASTI PHARMA, INC. CLASS A CO MMON STOCK / CUSIP: 00430K402 / Symbol:							
7 transactions for 01/28/20. Total proceeds and cost reported to the IRS.							
	100.000	71.91	01/21/20	68.45	...	3.46	1 of 7 - Sale <sup>25</sup>
	200.000	143.81	01/21/20	136.90	...	6.91	2 of 7 - Sale <sup>25</sup>
	500.000	358.54	01/21/20	342.25	...	16.29	3 of 7 - Sale <sup>25</sup>
	500.000	358.54	01/21/20	342.25	...	16.29	4 of 7 - Sale <sup>25</sup>

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Robinhood Securities LLC

Account 132582909

## 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
ACASTI PHARMA, INC. CLASS A CO MMON STOCK / CUSIP: 00430K402 / Symbol: (cont'd)							
	500.000	358.54	01/21/20	342.25	...	16.29	5 of 7 - Sale <sup>25</sup>
	500.000	358.54	01/21/20	342.25	...	16.29	6 of 7 - Sale <sup>25</sup>
	700.000	503.34	01/21/20	479.15	...	24.19	7 of 7 - Sale <sup>25</sup>
01/28/20	3,000.000	2,153.22	Various	2,053.50	...	99.72	Total of 7 transactions
ADVANCED MICRO DEVICES, INC. C OMMON STOCK / CUSIP: 007903107 / Symbol:							
2 transactions for 01/30/20. Total proceeds and cost reported to the IRS.							
	20.000	940.38	01/29/20	926.80	...	13.58	1 of 2 - Sale <sup>25</sup>
	30.000	1,410.57	01/29/20	1,390.20	...	20.37	2 of 2 - Sale <sup>25</sup>
01/30/20	50.000	2,350.95	Various	2,317.00	...	33.95	Total of 2 transactions
AIKIDO PHARMA INC. COMMON STOC K / CUSIP: 008875106 / Symbol:							
8 transactions for 04/27/20. Total proceeds and cost reported to the IRS.							
	900.000	728.87	04/23/20	767.96	...	-39.09	1 of 8 - Sale <sup>25</sup>
	91.000	73.70	04/23/20	77.64	...	-3.94	2 of 8 - Sale <sup>25</sup>
	4.000	3.24	04/23/20	3.52	...	-0.28	3 of 8 - Sale <sup>25</sup>
	1.000	0.82	04/23/20	0.73	...	0.09	4 of 8 - Sale <sup>25</sup>
	5.000	4.05	04/23/20	3.87	...	0.18	5 of 8 - Sale <sup>25</sup>
	4.000	3.24	04/23/20	2.81	...	0.43	6 of 8 - Sale <sup>25</sup>
	100.000	80.99	04/23/20	79.61	...	1.38	7 of 8 - Sale <sup>25</sup>
	890.000	720.77	04/23/20	649.70	...	71.07	8 of 8 - Sale <sup>25</sup>
04/27/20	1,995.000	1,615.68	Various	1,585.84	...	29.84	Total of 8 transactions
7 transactions for 04/27/20. Total proceeds and cost reported to the IRS.							
	100.000	81.89	04/14/20	105.00	23.11 W	0.00	1 of 7 - Sale <sup>25</sup>
	900.000	736.97	04/14/20	945.00	208.03 W	0.00	2 of 7 - Sale <sup>25</sup>
	100.000	81.89	04/14/20	88.50	6.61 W	0.00	3 of 7 - Sale <sup>25</sup>
	9.000	7.29	04/23/20	8.65	1.36 W	0.00	4 of 7 - Sale <sup>25</sup>
	91.000	73.70	04/23/20	87.46	13.76 W	0.00	5 of 7 - Sale <sup>25</sup>
	900.000	728.87	04/23/20	865.03	136.16 W	0.00	6 of 7 - Sale <sup>25</sup>
	5.000	4.05	04/23/20	4.41	0.36 W	0.00	7 of 7 - Sale <sup>25</sup>
04/27/20	2,105.000	1,714.66	Various	2,104.05	389.39 W	0.00	Total of 7 transactions
06/17/20	1,000.000	899.86	06/16/20	809.70	...	90.16	Sale <sup>25</sup>

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

(continued)

02/14/2021

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AIKIDO PHARMA INC. COMMON STOC K / CUSIP: 008875106 / Symbol: (cont'd)							
2 transactions for 06/19/20. Total proceeds and cost reported to the IRS.							
	30.000	24.60	06/17/20	24.30	...	0.30	1 of 2 - Sale <sup>25</sup>
	300.000	245.96	06/17/20	243.00	...	2.96	2 of 2 - Sale <sup>25</sup>
06/19/20	330.000	270.56	Various	267.30	...	3.26	Total of 2 transactions
	<b>Security total:</b>	<b>4,500.76</b>		<b>4,766.89</b>	<b>389.39 W</b>	<b>123.26</b>	
ALIBABA GROUP HOLDING LIMITED AMERICAN DEPOSITARY SHARES, EA CH REPRESENTS EIGHT ORDINARY S / CUSIP: 01609W102 / Symbol:							
02/12/20	13.000	2,916.51	02/10/20	2,763.67	...	152.84	Sale <sup>25</sup>
02/18/20	19.000	4,179.90	02/14/20	4,174.30	...	5.60	Sale <sup>25</sup>
	<b>Security total:</b>	<b>7,096.41</b>		<b>6,937.97</b>	...	<b>158.44</b>	
ALPHABET INC. CLASS A COMMON S TOCK / CUSIP: 02079K305 / Symbol:							
02/04/20	1.000	1,435.07	02/03/20	1,434.58	...	0.49	Sale <sup>25</sup>
AMAZON.COM, INC. COMMON STOCK / CUSIP: 023135106 / Symbol:							
05/04/20	2.000	4,529.89	04/30/20	4,832.72	...	-302.83	Sale <sup>25</sup>
AMERICAN AIRLINES GROUP INC. C OMMON STOCK / CUSIP: 02376R102 / Symbol:							
04/07/20	39.000	430.95	04/03/20	395.46	...	35.49	Sale <sup>25</sup>
3 transactions for 04/27/20. Total proceeds and cost reported to the IRS.							
	100.000	1,022.96	04/24/20	1,018.00	...	4.96	1 of 3 - Sale <sup>25</sup>
	150.000	1,534.45	04/24/20	1,511.79	...	22.66	2 of 3 - Sale <sup>25</sup>
	582.000	5,953.66	04/24/20	5,924.76	...	28.90	3 of 3 - Sale <sup>25</sup>
04/27/20	832.000	8,511.07	Various	8,454.55	...	56.52	Total of 3 transactions
2 transactions for 04/27/20. Total proceeds and cost reported to the IRS.							
	18.000	184.13	04/20/20	199.08	14.95 W	0.00	1 of 2 - Sale <sup>25</sup>
	18.000	184.13	04/24/20	198.19	14.06 W	0.00	2 of 2 - Sale <sup>25</sup>
04/27/20	36.000	368.26	Various	397.27	29.01 W	0.00	Total of 2 transactions
8 transactions for 04/28/20. Total proceeds and cost reported to the IRS.							
	1.000	10.75	04/27/20	10.05	...	0.70	1 of 8 - Sale <sup>25</sup>
	3.000	32.25	04/27/20	30.15	...	2.10	2 of 8 - Sale <sup>25</sup>
	43.000	462.25	04/27/20	432.15	...	30.10	3 of 8 - Sale <sup>25</sup>
	54.000	580.49	04/27/20	542.70	...	37.79	4 of 8 - Sale <sup>25</sup>
	100.000	1,075.00	04/27/20	1,005.00	...	70.00	5 of 8 - Sale <sup>25</sup>

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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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AMERICAN AIRLINES GROUP INC. C OMMON STOCK / CUSIP: 02376R102 / Symbol: (cont'd)							
	199.000	2,139.24	04/27/20	1,999.95	...	139.29	6 of 8 - Sale <sup>25</sup>
	282.000	3,031.48	04/27/20	2,842.56	...	188.92	7 of 8 - Sale <sup>25</sup>
	800.000	8,599.95	04/27/20	8,064.00	...	535.95	8 of 8 - Sale <sup>25</sup>
04/28/20	1,482.000	15,931.41	Various	14,926.56	...	1,004.85	Total of 8 transactions
	2 transactions for 04/28/20. Total proceeds and cost reported to the IRS.						
	4.000	43.00	04/27/20	43.44	0.44 W	0.00	1 of 2 - Sale <sup>25</sup>
	14.000	150.50	04/27/20	152.06	1.56 W	0.00	2 of 2 - Sale <sup>25</sup>
04/28/20	18.000	193.50	Various	195.50	2.00 W	0.00	Total of 2 transactions
	14 transactions for 05/08/20. Total proceeds and cost reported to the IRS.						
	3.000	29.40	05/04/20	28.38	...	1.02	1 of 14 - Sale <sup>25</sup>
	200.000	1,959.93	05/04/20	1,957.72	...	2.21	2 of 14 - Sale <sup>25</sup>
	10.000	98.00	05/04/20	94.60	...	3.40	3 of 14 - Sale <sup>25</sup>
	20.000	195.99	05/04/20	192.00	...	3.99	4 of 14 - Sale <sup>25</sup>
	17.000	166.59	05/04/20	158.42	...	8.17	5 of 14 - Sale <sup>25</sup>
	300.000	2,939.90	05/04/20	2,930.58	...	9.32	6 of 14 - Sale <sup>25</sup>
	100.000	979.96	05/04/20	964.00	...	15.96	7 of 14 - Sale <sup>25</sup>
	100.000	979.97	05/04/20	964.00	...	15.97	8 of 14 - Sale <sup>25</sup>
	200.000	1,959.93	05/04/20	1,850.00	...	109.93	9 of 14 - Sale <sup>25</sup>
	30.000	293.99	05/05/20	290.10	...	3.89	10 of 14 - Sale <sup>25</sup>
	200.000	1,959.93	05/05/20	1,951.72	...	8.21	11 of 14 - Sale <sup>25</sup>
	100.000	979.97	05/05/20	965.00	...	14.97	12 of 14 - Sale <sup>25</sup>
	200.000	1,959.93	05/05/20	1,921.72	...	38.21	13 of 14 - Sale <sup>25</sup>
	480.000	4,703.83	05/06/20	4,395.89	...	307.94	14 of 14 - Sale <sup>25</sup>
05/08/20	1,960.000	19,207.32	Various	18,664.13	...	543.19	Total of 14 transactions
	11 transactions for 05/08/20. Total proceeds and cost reported to the IRS.						
	4.000	39.20	04/30/20	47.16	7.96 W	0.00	1 of 11 - Sale <sup>25</sup>
	14.000	137.19	04/30/20	165.08	27.89 W	0.00	2 of 11 - Sale <sup>25</sup>
	82.000	803.57	04/30/20	957.76	154.19 W	0.00	3 of 11 - Sale <sup>25</sup>
	100.000	979.97	04/30/20	1,167.98	188.01 W	0.00	4 of 11 - Sale <sup>25</sup>
	70.000	685.97	05/01/20	757.05	71.08 W	0.00	5 of 11 - Sale <sup>25</sup>
	4.000	39.20	05/04/20	45.80	6.60 W	0.00	6 of 11 - Sale <sup>25</sup>
	14.000	137.20	05/04/20	160.33	23.13 W	0.00	7 of 11 - Sale <sup>25</sup>
	69.000	676.18	05/04/20	782.49	106.31 W	0.00	8 of 11 - Sale <sup>25</sup>

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

(continued)

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AMERICAN AIRLINES GROUP INC. C OMMON STOCK / CUSIP: 02376R102 / Symbol: (cont'd)							
	13.000	127.40	05/04/20	145.58	18.18 W	0.00	9 of 11 - Sale <sup>25</sup>
	100.000	979.97	05/04/20	1,119.87	139.90 W	0.00	10 of 11 - Sale <sup>25</sup>
	70.000	685.98	05/04/20	723.38	37.40 W	0.00	11 of 11 - Sale <sup>25</sup>
05/08/20	540.000	5,291.83	Various	6,072.48	780.65 W	0.00	Total of 11 transactions
	25 transactions for 05/11/20. Total proceeds and cost reported to the IRS.						
	4.000	39.56	05/06/20	43.23	3.67 W	0.00	1 of 25 - Sale <sup>25</sup>
	14.000	138.46	05/06/20	151.34	12.88 W	0.00	2 of 25 - Sale <sup>25</sup>
	2.000	19.78	05/06/20	21.40	1.62 W	0.00	3 of 25 - Sale <sup>25</sup>
	13.000	128.57	05/08/20	146.75	18.18 W	0.00	4 of 25 - Sale <sup>25</sup>
	67.000	662.60	05/08/20	765.86	103.26 W	0.00	5 of 25 - Sale <sup>25</sup>
	100.000	988.96	05/08/20	1,128.90	139.94 W	0.00	6 of 25 - Sale <sup>25</sup>
	2.000	19.78	05/08/20	20.85	1.07 W	0.00	7 of 25 - Sale <sup>25</sup>
	18.000	178.01	05/08/20	187.64	9.63 W	0.00	8 of 25 - Sale <sup>25</sup>
	4.000	39.56	05/08/20	43.23	3.67 W	0.00	9 of 25 - Sale <sup>25</sup>
	14.000	138.46	05/08/20	151.34	12.88 W	0.00	10 of 25 - Sale <sup>25</sup>
	2.000	19.78	05/08/20	21.40	1.62 W	0.00	11 of 25 - Sale <sup>25</sup>
	13.000	128.57	05/08/20	146.75	18.18 W	0.00	12 of 25 - Sale <sup>25</sup>
	50.000	494.48	05/08/20	564.47	69.99 W	0.00	13 of 25 - Sale <sup>25</sup>
	67.000	662.61	05/08/20	765.89	103.28 W	0.00	14 of 25 - Sale <sup>25</sup>
	50.000	494.48	05/08/20	521.21	26.73 W	0.00	15 of 25 - Sale <sup>25</sup>
	50.000	494.48	05/08/20	564.47	69.99 W	0.00	16 of 25 - Sale <sup>25</sup>
	2.000	19.78	05/08/20	20.85	1.07 W	0.00	17 of 25 - Sale <sup>25</sup>
	148.000	1,463.67	05/08/20	1,463.72	0.05 W	0.00	18 of 25 - Sale <sup>25</sup>
	82.000	810.95	05/08/20	810.98	0.03 W	0.00	19 of 25 - Sale <sup>25</sup>
	4.000	39.56	05/08/20	43.23	3.67 W	0.00	20 of 25 - Sale <sup>25</sup>
	14.000	138.46	05/08/20	151.34	12.88 W	0.00	21 of 25 - Sale <sup>25</sup>
	2.000	19.78	05/08/20	21.40	1.62 W	0.00	22 of 25 - Sale <sup>25</sup>
	13.000	128.57	05/08/20	146.75	18.18 W	0.00	23 of 25 - Sale <sup>25</sup>
	67.000	662.60	05/08/20	765.91	103.31 W	0.00	24 of 25 - Sale <sup>25</sup>
	18.000	178.01	05/08/20	187.65	9.64 W	0.00	25 of 25 - Sale <sup>25</sup>
05/11/20	820.000	8,109.52	Various	8,856.56	747.04 W	0.00	Total of 25 transactions
	18 transactions for 05/15/20. Total proceeds and cost reported to the IRS.						
	67.000	614.37	05/12/20	770.50	...	-156.13	1 of 18 - Sale <sup>25</sup>
	200.000	1,833.94	05/12/20	1,980.00	...	-146.06	2 of 18 - Sale <sup>25</sup>

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AMERICAN AIRLINES GROUP INC. C OMMON STOCK / CUSIP: 02376R102 / Symbol: (cont'd)							
	200.000	1,833.94	05/12/20	1,979.62	...	-145.68	3 of 18 - Sale <sup>25</sup>
	50.000	458.48	05/12/20	572.49	...	-114.01	4 of 18 - Sale <sup>25</sup>
	50.000	458.48	05/12/20	572.49	...	-114.01	5 of 18 - Sale <sup>25</sup>
	102.000	935.31	05/12/20	1,015.72	...	-80.41	6 of 18 - Sale <sup>25</sup>
	87.000	797.76	05/12/20	874.38	...	-76.62	7 of 18 - Sale <sup>25</sup>
	50.000	458.48	05/12/20	529.23	...	-70.75	8 of 18 - Sale <sup>25</sup>
	81.000	742.74	05/12/20	806.64	...	-63.90	9 of 18 - Sale <sup>25</sup>
	60.000	550.18	05/12/20	603.02	...	-52.84	10 of 18 - Sale <sup>25</sup>
	13.000	119.21	05/12/20	147.64	...	-28.43	11 of 18 - Sale <sup>25</sup>
	14.000	128.38	05/12/20	152.29	...	-23.91	12 of 18 - Sale <sup>25</sup>
	18.000	165.05	05/12/20	188.89	...	-23.84	13 of 18 - Sale <sup>25</sup>
	3.000	27.51	05/12/20	32.62	...	-5.11	14 of 18 - Sale <sup>25</sup>
	2.000	18.34	05/12/20	21.54	...	-3.20	15 of 18 - Sale <sup>25</sup>
	2.000	18.34	05/12/20	21.17	...	-2.83	16 of 18 - Sale <sup>25</sup>
	1.000	9.17	05/12/20	10.97	...	-1.80	17 of 18 - Sale <sup>25</sup>
	300.000	2,750.90	05/13/20	2,669.43	...	81.47	18 of 18 - Sale <sup>25</sup>
05/15/20	1,300.000	11,920.58	Various	12,948.64	...	-1,028.06	Total of 18 transactions
	<b>Security total:</b>	<b>69,964.44</b>		<b>70,911.15</b>	<b>1,558.70 W</b>	<b>611.99</b>	
APPLE INC. COMMON STOCK / CUSIP: 037833100 / Symbol:							
3 transactions for 04/23/20. Total proceeds and cost reported to the IRS.							
	30.000	8,292.41	04/20/20	8,398.50	...	-106.09	1 of 3 - Sale <sup>25</sup>
	10.000	2,764.14	04/21/20	2,746.70	...	17.44	2 of 3 - Sale <sup>25</sup>
	7.000	1,934.90	04/22/20	1,917.30	...	17.60	3 of 3 - Sale <sup>25</sup>
04/23/20	47.000	12,991.45	Various	13,062.50	...	-71.05	Total of 3 transactions
ARMATA PHARMACEUTICALS, INC. C OMMON STOCK / CUSIP: 04216R102 / Symbol:							
6 transactions for 02/04/20. Total proceeds and cost reported to the IRS.							
	300.000	1,082.94	01/28/20	1,575.00	...	-492.06	1 of 6 - Sale <sup>25</sup>
	73.000	263.51	01/28/20	340.91	...	-77.40	2 of 6 - Sale <sup>25</sup>
	57.000	205.76	01/28/20	266.19	...	-60.43	3 of 6 - Sale <sup>25</sup>
	53.000	191.32	01/29/20	223.13	...	-31.81	4 of 6 - Sale <sup>25</sup>
	10.000	36.10	01/29/20	42.10	...	-6.00	5 of 6 - Sale <sup>25</sup>

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Robinhood Securities LLC

Account 132582909

**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
ARMATA PHARMACEUTICALS, INC. C OMMON STOCK / CUSIP: 04216R102 / Symbol: (cont'd)							
	5.000	18.05	01/29/20	21.05	...	-3.00	6 of 6 - Sale <sup>25</sup>
02/04/20	498.000	1,797.68	Various	2,468.38	...	-670.70	Total of 6 transactions
BANK OF AMERICA CORPORATION / CUSIP: 060505104 / Symbol:							
05/13/20	150.000	3,128.93	05/13/20	3,172.10	...	-43.17	Sale <sup>25</sup>
BENITEC BIOPHARMA LIMITED AMER ICAN DEPOSITARY SHARES / CUSIP: 082053406 / Symbol:							
02/10/20	150.000	895.21	02/07/20	1,185.00	...	-289.79	Sale <sup>25</sup>
BEYOND MEAT, INC. COMMON STOCK / CUSIP: 08862E109 / Symbol:							
02/06/20	20.000	2,219.95	02/03/20	2,080.00	...	139.95	Sale <sup>25</sup>
BIOCEPT, INC. COMMON STOCK / CUSIP: 09072V402 / Symbol:							
4 transactions for 04/16/20. Total proceeds and cost reported to the IRS.							
	500.000	211.44	04/14/20	230.00	...	-18.56	1 of 4 - Sale <sup>25</sup>
	250.000	105.72	04/14/20	115.00	...	-9.28	2 of 4 - Sale <sup>25</sup>
	150.000	63.43	04/14/20	69.00	...	-5.57	3 of 4 - Sale <sup>25</sup>
	100.000	42.29	04/14/20	46.00	...	-3.71	4 of 4 - Sale <sup>25</sup>
04/16/20	1,000.000	422.88	Various	460.00	...	-37.12	Total of 4 transactions
BOEING COMPANY / CUSIP: 097023105 / Symbol:							
05/20/20	30.000	3,976.73	05/19/20	4,092.60	...	-115.87	Sale <sup>25</sup>
CHF SOLUTIONS, INC. COMMON STO CK / CUSIP: 12542Q706 / Symbol:							
6 transactions for 02/07/20. Total proceeds and cost reported to the IRS.							
	100.000	45.24	02/04/20	44.96	...	0.28	1 of 6 - Sale <sup>25</sup>
	100.000	45.25	02/04/20	44.96	...	0.29	2 of 6 - Sale <sup>25</sup>
	100.000	45.25	02/04/20	44.96	...	0.29	3 of 6 - Sale <sup>25</sup>
	300.000	135.74	02/04/20	134.85	...	0.89	4 of 6 - Sale <sup>25</sup>
	1,100.000	497.72	02/04/20	494.45	...	3.27	5 of 6 - Sale <sup>25</sup>
	1,300.000	588.21	02/04/20	584.35	...	3.86	6 of 6 - Sale <sup>25</sup>
02/07/20	3,000.000	1,357.41	Various	1,348.53	...	8.88	Total of 6 transactions

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Robinhood Securities LLC

Account 132582909

## Proceeds from Broker and Barter Exchange Transactions

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

(continued)

02/14/2021

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
CHF SOLUTIONS, INC. COMMON STO CK / CUSIP: 12542Q706 / Symbol: (cont'd)							
2 transactions for 04/14/20. Total proceeds and cost reported to the IRS.							
	2,000.000	949.74	04/14/20	944.00	...	5.74	1 of 2 - Sale <sup>25</sup>
	200.000	94.97	04/14/20	88.54	...	6.43	2 of 2 - Sale <sup>25</sup>
04/14/20	2,200.000	1,044.71	Various	1,032.54	...	12.17	Total of 2 transactions
	<b>Security total:</b>	<b>2,402.12</b>		<b>2,381.07</b>	...	<b>21.05</b>	
CAMBER ENERGY, INC / CUSIP: 13200M508 / Symbol:							
10 transactions for 02/03/20. Total proceeds and cost reported to the IRS.							
	20.000	32.20	01/17/20	40.80	8.60 W	0.00	1 of 10 - Sale <sup>25</sup>
	62.000	99.81	01/17/20	126.48	26.67 W	0.00	2 of 10 - Sale <sup>25</sup>
	1.000	1.60	01/17/20	2.47	0.87 W	0.00	3 of 10 - Sale <sup>25</sup>
	19.000	30.40	01/17/20	46.93	16.53 W	0.00	4 of 10 - Sale <sup>25</sup>
	81.000	129.59	01/17/20	165.24	35.65 W	0.00	5 of 10 - Sale <sup>25</sup>
	150.000	239.98	01/17/20	306.00	66.02 W	0.00	6 of 10 - Sale <sup>25</sup>
	8.000	12.80	01/17/20	16.32	3.52 W	0.00	7 of 10 - Sale <sup>25</sup>
	1.000	1.60	01/17/20	2.04	0.44 W	0.00	8 of 10 - Sale <sup>25</sup>
	8.000	12.80	01/17/20	16.32	3.52 W	0.00	9 of 10 - Sale <sup>25</sup>
	61.000	97.59	01/17/20	124.44	26.85 W	0.00	10 of 10 - Sale <sup>25</sup>
02/03/20	411.000	658.37	Various	847.04	188.67 W	0.00	Total of 10 transactions
27 transactions for 02/10/20. Total proceeds and cost reported to the IRS.							
	150.000	244.48	01/17/20	372.02	...	-127.54	1 of 27 - Sale <sup>25</sup>
	81.000	132.02	01/17/20	200.89	...	-68.87	2 of 27 - Sale <sup>25</sup>
	207.000	337.37	01/17/20	405.72	...	-68.35	3 of 27 - Sale <sup>25</sup>
	61.000	99.42	01/17/20	151.29	...	-51.87	4 of 27 - Sale <sup>25</sup>
	150.000	244.47	01/17/20	294.00	...	-49.53	5 of 27 - Sale <sup>25</sup>
	109.000	177.65	01/17/20	222.36	...	-44.71	6 of 27 - Sale <sup>25</sup>
	42.000	68.45	01/17/20	103.75	...	-35.30	7 of 27 - Sale <sup>25</sup>
	19.000	30.97	01/17/20	55.29	...	-24.32	8 of 27 - Sale <sup>25</sup>
	50.000	81.49	01/17/20	102.00	...	-20.51	9 of 27 - Sale <sup>25</sup>
	62.000	101.05	01/17/20	121.52	...	-20.47	10 of 27 - Sale <sup>25</sup>
	20.000	32.60	01/17/20	49.40	...	-16.80	11 of 27 - Sale <sup>25</sup>
	39.000	63.56	01/17/20	79.56	...	-16.00	12 of 27 - Sale <sup>25</sup>
	8.000	13.04	01/17/20	19.84	...	-6.80	13 of 27 - Sale <sup>25</sup>
	8.000	13.04	01/17/20	19.84	...	-6.80	14 of 27 - Sale <sup>25</sup>

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Robinhood Securities LLC

Account 132582909

**Proceeds from Broker and Barter Exchange Transactions**

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

(continued)

02/14/2021

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
CAMBER ENERGY, INC / CUSIP: 13200M508 / Symbol: (cont'd)							
	20.000	32.60	01/17/20	39.20	...	-6.60	15 of 27 - Sale <sup>25</sup>
	15.000	24.45	01/17/20	29.40	...	-4.95	16 of 27 - Sale <sup>25</sup>
	10.000	16.30	01/17/20	19.60	...	-3.30	17 of 27 - Sale <sup>25</sup>
	8.000	13.04	01/17/20	15.68	...	-2.64	18 of 27 - Sale <sup>25</sup>
	7.000	11.41	01/17/20	13.72	...	-2.31	19 of 27 - Sale <sup>25</sup>
	7.000	11.41	01/17/20	13.72	...	-2.31	20 of 27 - Sale <sup>25</sup>
	6.000	9.78	01/17/20	11.76	...	-1.98	21 of 27 - Sale <sup>25</sup>
	5.000	8.15	01/17/20	9.80	...	-1.65	22 of 27 - Sale <sup>25</sup>
	1.000	1.63	01/17/20	2.91	...	-1.28	23 of 27 - Sale <sup>25</sup>
	1.000	1.63	01/17/20	2.48	...	-0.85	24 of 27 - Sale <sup>25</sup>
	2.000	3.26	01/17/20	3.92	...	-0.66	25 of 27 - Sale <sup>25</sup>
	1.000	1.63	01/17/20	1.96	...	-0.33	26 of 27 - Sale <sup>25</sup>
	400.000	651.93	01/27/20	732.00	...	-80.07	27 of 27 - Sale <sup>25</sup>
02/10/20	1,489.000	2,426.83	Various	3,093.63	...	-666.80	Total of 27 transactions
	<b>Security total:</b>	<b>3,085.20</b>		<b>3,940.67</b>	<b>188.67 W</b>	<b>-666.80</b>	
CAN-FITE BIOPHARMA LTD. / CUSIP: 13471N201 / Symbol:							
2 transactions for 01/15/20. Total proceeds and cost reported to the IRS.							
	50.000	138.00	01/09/20	137.75	...	0.25	1 of 2 - Sale <sup>25</sup>
	150.000	413.98	01/09/20	413.25	...	0.73	2 of 2 - Sale <sup>25</sup>
01/15/20	200.000	551.98	Various	551.00	...	0.98	Total of 2 transactions
CARVER BANCORP, INC. COMMON ST OCK / CUSIP: 146875604 / Symbol:							
06/17/20	80.000	1,239.96	06/17/20	1,640.00	...	-400.04	Sale <sup>25</sup>
CHESAPEAKE ENERGY CORP COMMON STOCK / CUSIP: 165167743 / Symbol:							
4 transactions for 04/29/20. Total proceeds and cost reported to the IRS.							
	10.000	298.99	04/29/20	288.70	...	10.29	1 of 4 - Sale <sup>25</sup>
	20.000	597.98	04/29/20	577.40	...	20.58	2 of 4 - Sale <sup>25</sup>
	77.000	2,302.24	04/29/20	2,222.99	...	79.25	3 of 4 - Sale <sup>25</sup>
	93.000	2,780.63	04/29/20	2,684.91	...	95.72	4 of 4 - Sale <sup>25</sup>
04/29/20	200.000	5,979.84	Various	5,774.00	...	205.84	Total of 4 transactions

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Robinhood Securities LLC

Account 132582909

## 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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CHINA JO-JO DRUGSTORES, INC. C OMMON STOCK / CUSIP: 16949A206 / Symbol:							
5 transactions for 06/23/20. Total proceeds and cost reported to the IRS.							
	4.000	7.84	06/16/20	6.18	...	1.66	1 of 5 - Sale <sup>25</sup>
	4.000	7.84	06/16/20	6.18	...	1.66	2 of 5 - Sale <sup>25</sup>
	45.000	88.20	06/16/20	69.52	...	18.68	3 of 5 - Sale <sup>25</sup>
	100.000	195.99	06/16/20	154.50	...	41.49	4 of 5 - Sale <sup>25</sup>
	159.000	311.62	06/16/20	245.66	...	65.96	5 of 5 - Sale <sup>25</sup>
06/23/20	312.000	611.49	Various	482.04	...	129.45	Total of 5 transactions
13 transactions for 06/24/20. Total proceeds and cost reported to the IRS.							
	88.000	174.23	06/16/20	135.96	...	38.27	1 of 13 - Sale <sup>25</sup>
	300.000	593.95	06/16/20	463.50	...	130.45	2 of 13 - Sale <sup>25</sup>
	288.000	570.19	06/17/20	452.16	...	118.03	3 of 13 - Sale <sup>25</sup>
	712.000	1,409.64	06/17/20	1,117.84	...	291.80	4 of 13 - Sale <sup>25</sup>
	46.000	91.07	06/19/20	69.00	...	22.07	5 of 13 - Sale <sup>25</sup>
	88.000	174.23	06/19/20	135.30	...	38.93	6 of 13 - Sale <sup>25</sup>
	100.000	197.98	06/19/20	150.00	...	47.98	7 of 13 - Sale <sup>25</sup>
	100.000	197.98	06/19/20	150.00	...	47.98	8 of 13 - Sale <sup>25</sup>
	200.000	395.97	06/19/20	300.00	...	95.97	9 of 13 - Sale <sup>25</sup>
	250.000	494.96	06/19/20	375.00	...	119.96	10 of 13 - Sale <sup>25</sup>
	304.000	601.87	06/19/20	456.00	...	145.87	11 of 13 - Sale <sup>25</sup>
	812.000	1,607.63	06/19/20	1,248.45	...	359.18	12 of 13 - Sale <sup>25</sup>
	1,100.000	2,177.82	06/19/20	1,691.25	...	486.57	13 of 13 - Sale <sup>25</sup>
06/24/20	4,388.000	8,687.52	Various	6,744.46	...	1,943.06	Total of 13 transactions
	<b>Security total:</b>	<b>9,299.01</b>		<b>7,226.50</b>	...	<b>2,072.51</b>	
CINEDIGM CORP., CLASS A COMMON STOCK / CUSIP: 172406209 / Symbol:							
6 transactions for 07/02/20. Total proceeds and cost reported to the IRS.							
	10.000	20.30	07/01/20	20.20	...	0.10	1 of 6 - Sale <sup>25</sup>
	10.000	20.30	07/01/20	20.20	...	0.10	2 of 6 - Sale <sup>25</sup>
	48.000	97.43	07/01/20	96.96	...	0.47	3 of 6 - Sale <sup>25</sup>
	52.000	105.55	07/01/20	105.04	...	0.51	4 of 6 - Sale <sup>25</sup>
	300.000	608.95	07/01/20	606.00	...	2.95	5 of 6 - Sale <sup>25</sup>
	480.000	974.31	07/01/20	969.60	...	4.71	6 of 6 - Sale <sup>25</sup>
07/02/20	900.000	1,826.84	Various	1,818.00	...	8.84	Total of 6 transactions

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Account 132582909

## Proceeds from Broker and Barter Exchange Transactions

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

(continued)

02/14/2021

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CINEMARK HOLDINGS, INC. / CUSIP: 17243V102 / Symbol:							
04/15/20	100.000	1,144.96	04/14/20	1,145.04	...	-0.08	Sale <sup>25</sup>
04/15/20	100.000	1,144.96	04/14/20	1,145.00	0.04 W	0.00	Sale <sup>25</sup>
	<b>Security total:</b>	<b>2,289.92</b>		<b>2,290.04</b>	<b>0.04 W</b>	<b>-0.08</b>	
CO-DIAGNOSTICS, INC. COMMON STOCK / CUSIP: 189763105 / Symbol:							
02/05/20	300.000	869.94	02/04/20	756.00	...	113.94	Sale <sup>25</sup>
	10 transactions for 05/18/20. Total proceeds and cost reported to the IRS.						
	100.000	1,924.94	05/15/20	1,966.00	...	-41.06	1 of 10 - Sale <sup>25</sup>
	100.000	1,924.95	05/15/20	1,945.50	...	-20.55	2 of 10 - Sale <sup>25</sup>
	2.000	38.50	05/15/20	36.56	...	1.94	3 of 10 - Sale <sup>25</sup>
	50.000	962.47	05/15/20	955.00	...	7.47	4 of 10 - Sale <sup>25</sup>
	9.000	173.25	05/15/20	164.52	...	8.73	5 of 10 - Sale <sup>25</sup>
	100.000	1,924.94	05/15/20	1,910.00	...	14.94	6 of 10 - Sale <sup>25</sup>
	39.000	750.73	05/15/20	712.92	...	37.81	7 of 10 - Sale <sup>25</sup>
	100.000	1,924.95	05/15/20	1,878.00	...	46.95	8 of 10 - Sale <sup>25</sup>
	50.000	962.47	05/15/20	914.00	...	48.47	9 of 10 - Sale <sup>25</sup>
	100.000	1,924.94	05/15/20	1,810.00	...	114.94	10 of 10 - Sale <sup>25</sup>
05/18/20	650.000	12,512.14	Various	12,292.50	...	219.64	Total of 10 transactions
	<b>Security total:</b>	<b>13,382.08</b>		<b>13,048.50</b>	...	<b>333.58</b>	
COCA-COLA COMPANY / CUSIP: 191216100 / Symbol:							
	4 transactions for 04/20/20. Total proceeds and cost reported to the IRS.						
	1.000	47.69	04/17/20	47.66	...	0.03	1 of 4 - Sale <sup>25</sup>
	1.000	47.70	04/17/20	47.66	...	0.04	2 of 4 - Sale <sup>25</sup>
	2.000	95.50	04/17/20	95.32	...	0.18	3 of 4 - Sale <sup>25</sup>
	46.000	2,193.69	04/17/20	2,192.36	...	1.33	4 of 4 - Sale <sup>25</sup>
04/20/20	50.000	2,384.58	Various	2,383.00	...	1.58	Total of 4 transactions
DIAMOND OFFSHORE DRILLING INC COMMON STOCK / CUSIP: 25271C102 / Symbol:							
	6 transactions for 04/16/20. Total proceeds and cost reported to the IRS.						
	50.000	45.99	04/16/20	45.00	...	0.99	1 of 6 - Sale <sup>25</sup>
	200.000	183.98	04/16/20	180.00	...	3.98	2 of 6 - Sale <sup>25</sup>
	300.000	275.97	04/16/20	270.00	...	5.97	3 of 6 - Sale <sup>25</sup>
	200.000	183.97	04/16/20	152.00	...	31.97	4 of 6 - Sale <sup>25</sup>

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Robinhood Securities LLC

Account 132582909

**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
DIAMOND OFFSHORE DRILLING INC COMMON STOCK / CUSIP: 25271C102 / Symbol: (cont'd)							
	200.000	183.98	04/16/20	152.00	...	31.98	5 of 6 - Sale <sup>25</sup>
	300.000	275.96	04/16/20	228.00	...	47.96	6 of 6 - Sale <sup>25</sup>
04/16/20	1,250.000	1,149.85	Various	1,027.00	...	122.85	Total of 6 transactions
THE WALT DISNEY COMPANY / CUSIP: 254687106 / Symbol:							
02/18/20	30.000	4,164.95	02/04/20	4,327.50	...	-162.55	Sale <sup>25</sup>
DOMINION ENERGY, INC COMMON STOCK / CUSIP: 25746U109 / Symbol:							
2 transactions for 07/09/20. Total proceeds and cost reported to the IRS.							
	35.000	2,568.23	07/06/20	2,831.15	...	-262.92	1 of 2 - Sale <sup>25</sup>
	40.000	2,935.13	07/06/20	2,940.00	...	-4.87	2 of 2 - Sale <sup>25</sup>
07/09/20	75.000	5,503.36	Various	5,771.15	...	-267.79	Total of 2 transactions
ELECTRAMECCANICA VEHICLES CORP . LTD. COMMON STOCK / CUSIP: 284849205 / Symbol:							
4 transactions for 05/04/20. Total proceeds and cost reported to the IRS.							
	1,179.000	1,167.03	04/30/20	1,214.37	...	-47.34	1 of 4 - Sale <sup>25</sup>
	279.000	276.17	04/30/20	287.37	...	-11.20	2 of 4 - Sale <sup>25</sup>
	15.000	14.85	04/30/20	16.05	...	-1.20	3 of 4 - Sale <sup>25</sup>
	6.000	5.94	04/30/20	6.42	...	-0.48	4 of 4 - Sale <sup>25</sup>
05/04/20	1,479.000	1,463.99	Various	1,524.21	...	-60.22	Total of 4 transactions
2 transactions for 05/04/20. Total proceeds and cost reported to the IRS.							
	15.000	14.85	04/30/20	15.45	0.60 W	0.00	1 of 2 - Sale <sup>25</sup>
	6.000	5.94	04/30/20	6.18	0.24 W	0.00	2 of 2 - Sale <sup>25</sup>
05/04/20	21.000	20.79	Various	21.63	0.84 W	0.00	Total of 2 transactions
	<b>Security total:</b>	<b>1,484.78</b>		<b>1,545.84</b>	<b>0.84 W</b>	<b>-60.22</b>	
ENSERVCO CORP. / CUSIP: 29358Y102 / Symbol:							
12 transactions for 06/16/20. Total proceeds and cost reported to the IRS.							
	3,100.000	649.98	06/15/20	651.00	...	-1.02	1 of 12 - Sale <sup>25</sup>
	100.000	20.97	06/15/20	21.04	...	-0.07	2 of 12 - Sale <sup>25</sup>
	100.000	20.97	06/15/20	21.04	...	-0.07	3 of 12 - Sale <sup>25</sup>
	100.000	20.97	06/15/20	21.04	...	-0.07	4 of 12 - Sale <sup>25</sup>
	100.000	20.97	06/15/20	21.04	...	-0.07	5 of 12 - Sale <sup>25</sup>
	100.000	20.97	06/15/20	21.04	...	-0.07	6 of 12 - Sale <sup>25</sup>

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Robinhood Securities LLC

Account 132582909

## 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
ENSERVCO CORP. / CUSIP: 29358Y102 / Symbol: (cont'd)							
	75.000	15.73	06/15/20	15.78	...	-0.05	7 of 12 - Sale <sup>25</sup>
	25.000	5.24	06/15/20	5.28	...	-0.04	8 of 12 - Sale <sup>25</sup>
	25.000	5.24	06/15/20	5.27	...	-0.03	9 of 12 - Sale <sup>25</sup>
	25.000	5.24	06/15/20	5.27	...	-0.03	10 of 12 - Sale <sup>25</sup>
	25.000	5.24	06/15/20	5.27	...	-0.03	11 of 12 - Sale <sup>25</sup>
	25.000	5.24	06/15/20	5.26	...	-0.02	12 of 12 - Sale <sup>25</sup>
06/16/20	3,800.000	796.76	Various	798.33	...	-1.57	Total of 12 transactions
	13 transactions for 06/16/20. Total proceeds and cost reported to the IRS.						
	50.000	10.48	06/15/20	10.50	0.02 W	0.00	1 of 13 - Sale <sup>25</sup>
	50.000	10.48	06/15/20	10.50	0.02 W	0.00	2 of 13 - Sale <sup>25</sup>
	25.000	5.24	06/15/20	5.26	0.02 W	0.00	3 of 13 - Sale <sup>25</sup>
	25.000	5.24	06/15/20	5.26	0.02 W	0.00	4 of 13 - Sale <sup>25</sup>
	50.000	10.48	06/15/20	10.52	0.04 W	0.00	5 of 13 - Sale <sup>25</sup>
	25.000	5.24	06/15/20	5.27	0.03 W	0.00	6 of 13 - Sale <sup>25</sup>
	75.000	15.72	06/15/20	15.75	0.03 W	0.00	7 of 13 - Sale <sup>25</sup>
	100.000	20.96	06/15/20	21.00	0.04 W	0.00	8 of 13 - Sale <sup>25</sup>
	100.000	20.96	06/15/20	21.00	0.04 W	0.00	9 of 13 - Sale <sup>25</sup>
	100.000	20.96	06/15/20	21.00	0.04 W	0.00	10 of 13 - Sale <sup>25</sup>
	100.000	20.96	06/15/20	21.00	0.04 W	0.00	11 of 13 - Sale <sup>25</sup>
	100.000	20.96	06/15/20	21.00	0.04 W	0.00	12 of 13 - Sale <sup>25</sup>
	25.000	5.24	06/15/20	5.25	0.01 W	0.00	13 of 13 - Sale <sup>25</sup>
06/16/20	825.000	172.92	Various	173.31	0.39 W	0.00	Total of 13 transactions
	<b>Security total:</b>	<b>969.68</b>		<b>971.64</b>	<b>0.39 W</b>	<b>-1.57</b>	
FACEBOOK, INC. CLASS A COMMON STOCK / CUSIP: 30303M102 / Symbol:							
	4 transactions for 01/30/20. Total proceeds and cost reported to the IRS.						
	1.000	210.09	01/29/20	209.25	...	0.84	1 of 4 - Sale <sup>25</sup>
	3.000	630.25	01/29/20	627.75	...	2.50	2 of 4 - Sale <sup>25</sup>
	7.000	1,470.59	01/29/20	1,464.75	...	5.84	3 of 4 - Sale <sup>25</sup>
	9.000	1,890.77	01/29/20	1,883.25	...	7.52	4 of 4 - Sale <sup>25</sup>
01/30/20	20.000	4,201.70	Various	4,185.00	...	16.70	Total of 4 transactions

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Robinhood Securities LLC

Account 132582909

## Proceeds from Broker and Barter Exchange Transactions

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

(continued)

02/14/2021

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
FUELCELL ENERGY, INC. COMMON S TOCK / CUSIP: 35952H601 / Symbol:							
<i>9 transactions for 01/02/20. Total proceeds and cost reported to the IRS.</i>							
	10.000	28.00	12/31/19	25.20	...	2.80	1 of 9 - Sale <sup>25</sup>
	10.000	28.00	12/31/19	25.20	...	2.80	2 of 9 - Sale <sup>25</sup>
	35.000	97.99	12/31/19	88.20	...	9.79	3 of 9 - Sale <sup>25</sup>
	146.000	408.78	12/31/19	367.92	...	40.86	4 of 9 - Sale <sup>25</sup>
	299.000	837.15	12/31/19	753.48	...	83.67	5 of 9 - Sale <sup>25</sup>
	1,100.000	3,079.80	12/31/19	2,915.00	...	164.80	6 of 9 - Sale <sup>25</sup>
	200.000	467.97	01/02/20	458.00	...	9.97	7 of 9 - Sale <sup>25</sup>
	400.000	935.93	01/02/20	916.00	...	19.93	8 of 9 - Sale <sup>25</sup>
	780.000	1,825.07	01/02/20	1,645.80	...	179.27	9 of 9 - Sale <sup>25</sup>
01/02/20	2,980.000	7,708.69	Various	7,194.80	...	513.89	Total of 9 transactions
<i>2 transactions for 01/02/20. Total proceeds and cost reported to the IRS.</i>							
	1,001.000	2,342.17	01/02/20	2,362.36	20.19 W	0.00	1 of 2 - Sale <sup>25</sup>
	499.000	1,167.58	01/02/20	1,177.64	10.06 W	0.00	2 of 2 - Sale <sup>25</sup>
01/02/20	1,500.000	3,509.75	Various	3,540.00	30.25 W	0.00	Total of 2 transactions
<i>8 transactions for 01/03/20. Total proceeds and cost reported to the IRS.</i>							
	100.000	208.49	01/02/20	207.02	...	1.47	1 of 8 - Sale <sup>25</sup>
	100.000	208.48	01/02/20	207.01	...	1.47	2 of 8 - Sale <sup>25</sup>
	70.000	145.94	01/02/20	143.50	...	2.44	3 of 8 - Sale <sup>25</sup>
	100.000	208.49	01/02/20	205.00	...	3.49	4 of 8 - Sale <sup>25</sup>
	299.000	623.36	01/02/20	618.98	...	4.38	5 of 8 - Sale <sup>25</sup>
	300.000	625.44	01/02/20	621.05	...	4.39	6 of 8 - Sale <sup>25</sup>
	701.000	1,461.47	01/02/20	1,451.19	...	10.28	7 of 8 - Sale <sup>25</sup>
	330.000	688.00	01/02/20	676.50	...	11.50	8 of 8 - Sale <sup>25</sup>
01/03/20	2,000.000	4,169.67	Various	4,130.25	...	39.42	Total of 8 transactions
01/24/20	357.000	667.60	01/23/20	614.04	...	53.56	Sale <sup>25</sup>
	<b>Security total:</b>	<b>16,055.71</b>		<b>15,479.09</b>	<b>30.25 W</b>	<b>606.87</b>	

GENERAL ELECTRIC COMPANY / CUSIP: 369604103 / Symbol:

*2 transactions for 05/06/20. Total proceeds and cost reported to the IRS.*

	300.000	1,868.92	05/05/20	1,857.00	...	11.92	1 of 2 - Sale <sup>25</sup>
	700.000	4,360.82	05/05/20	4,333.00	...	27.82	2 of 2 - Sale <sup>25</sup>
05/06/20	1,000.000	6,229.74	Various	6,190.00	...	39.74	Total of 2 transactions

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Account 132582909

## Proceeds from Broker and Barter Exchange Transactions

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

(continued)

02/14/2021

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GENERAL ELECTRIC COMPANY / CUSIP: 369604103 / Symbol: (cont'd)							
05/07/20	500.000	3,059.87	05/06/20	3,055.00	...	4.87	Sale <sup>25</sup>
	<b>Security total:</b>	<b>9,289.61</b>		<b>9,245.00</b>	...	<b>44.61</b>	
GENIUS BRANDS INTERNATIONAL, I NC. COMMON STOCK / CUSIP: 37229T301 / Symbol:							
06/23/20	189.000	549.95	06/22/20	487.62	...	62.33	Sale <sup>25</sup>
06/23/20	400.000	1,163.93	06/19/20	1,212.00	48.07 W	0.00	Sale <sup>25</sup>
	13 transactions for 07/02/20. Total proceeds and cost reported to the IRS.						
	56.000	142.79	06/29/20	136.93	...	5.86	1 of 13 - Sale <sup>25</sup>
	44.000	112.19	06/29/20	102.30	...	9.89	2 of 13 - Sale <sup>25</sup>
	44.000	112.19	06/29/20	102.30	...	9.89	3 of 13 - Sale <sup>25</sup>
	100.000	254.98	06/29/20	244.52	...	10.46	4 of 13 - Sale <sup>25</sup>
	244.000	622.16	06/29/20	596.62	...	25.54	5 of 13 - Sale <sup>25</sup>
	156.000	397.77	06/29/20	362.70	...	35.07	6 of 13 - Sale <sup>25</sup>
	156.000	397.77	06/29/20	362.70	...	35.07	7 of 13 - Sale <sup>25</sup>
	200.000	509.96	06/29/20	465.00	...	44.96	8 of 13 - Sale <sup>25</sup>
	1,000.000	2,549.83	06/30/20	2,205.00	...	344.83	9 of 13 - Sale <sup>25</sup>
	3.000	7.95	07/02/20	7.47	...	0.48	10 of 13 - Sale <sup>25</sup>
	22.000	58.30	07/02/20	54.78	...	3.52	11 of 13 - Sale <sup>25</sup>
	40.000	105.99	07/02/20	99.60	...	6.39	12 of 13 - Sale <sup>25</sup>
	935.000	2,477.58	07/02/20	2,328.15	...	149.43	13 of 13 - Sale <sup>25</sup>
07/02/20	3,000.000	7,749.46	Various	7,068.07	...	681.39	Total of 13 transactions
	3 transactions for 07/06/20. Total proceeds and cost reported to the IRS.						
	100.000	297.98	07/02/20	248.00	...	49.98	1 of 3 - Sale <sup>25</sup>
	300.000	893.94	07/02/20	744.00	...	149.94	2 of 3 - Sale <sup>25</sup>
	600.000	1,787.89	07/02/20	1,488.00	...	299.89	3 of 3 - Sale <sup>25</sup>
07/06/20	1,000.000	2,979.81	Various	2,480.00	...	499.81	Total of 3 transactions
07/06/20	700.000	2,085.86	07/06/20	2,160.83	74.97 W	0.00	Sale <sup>25</sup>
	3 transactions for 07/08/20. Total proceeds and cost reported to the IRS.						
	13.000	30.74	07/07/20	27.95	...	2.79	1 of 3 - Sale <sup>25</sup>
	287.000	678.71	07/07/20	617.05	...	61.66	2 of 3 - Sale <sup>25</sup>
	700.000	1,655.37	07/07/20	1,579.97	...	75.40	3 of 3 - Sale <sup>25</sup>
07/08/20	1,000.000	2,364.82	Various	2,224.97	...	139.85	Total of 3 transactions

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Account 132582909

**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
GENIUS BRANDS INTERNATIONAL, I NC. COMMON STOCK / CUSIP: 37229T301 / Symbol: (cont'd)							
<i>5 transactions for 07/16/20. Total proceeds and cost reported to the IRS.</i>							
	482.000	1,069.95	07/15/20	1,118.24	...	-48.29	1 of 5 - Sale <sup>25</sup>
	200.000	443.97	07/15/20	464.00	...	-20.03	2 of 5 - Sale <sup>25</sup>
	150.000	332.97	07/15/20	348.00	...	-15.03	3 of 5 - Sale <sup>25</sup>
	150.000	332.98	07/15/20	348.00	...	-15.02	4 of 5 - Sale <sup>25</sup>
	18.000	39.96	07/15/20	41.76	...	-1.80	5 of 5 - Sale <sup>25</sup>
07/16/20	1,000.000	2,219.83	Various	2,320.00	...	-100.17	Total of 5 transactions
	<b>Security total:</b>	<b>19,113.66</b>		<b>17,953.49</b>	<b>123.04 W</b>	<b>1,283.21</b>	
IBIO, INC. / CUSIP: 451033203 / Symbol:							
<i>6 transactions for 06/24/20. Total proceeds and cost reported to the IRS.</i>							
	2,716.000	4,318.02	06/24/20	4,640.28	...	-322.26	1 of 6 - Sale <sup>25</sup>
	1,000.000	1,589.84	06/24/20	1,708.50	...	-118.66	2 of 6 - Sale <sup>25</sup>
	633.000	1,006.36	06/24/20	1,081.48	...	-75.12	3 of 6 - Sale <sup>25</sup>
	630.000	1,001.60	06/24/20	1,076.36	...	-74.76	4 of 6 - Sale <sup>25</sup>
	20.000	31.80	06/24/20	34.17	...	-2.37	5 of 6 - Sale <sup>25</sup>
	1.000	1.59	06/24/20	1.71	...	-0.12	6 of 6 - Sale <sup>25</sup>
06/24/20	5,000.000	7,949.21	Various	8,542.50	...	-593.29	Total of 6 transactions
IDEANOMICS, INC. COMMON STOCK / CUSIP: 45166V106 / Symbol:							
<i>33 transactions for 06/29/20. Total proceeds and cost reported to the IRS.</i>							
	1.000	1.90	06/26/20	1.88	...	0.02	1 of 33 - Sale <sup>25</sup>
	18.000	34.20	06/26/20	33.84	...	0.36	2 of 33 - Sale <sup>25</sup>
	33.000	62.69	06/26/20	61.88	...	0.81	3 of 33 - Sale <sup>25</sup>
	82.000	155.79	06/26/20	154.16	...	1.63	4 of 33 - Sale <sup>25</sup>
	100.000	189.98	06/26/20	188.00	...	1.98	5 of 33 - Sale <sup>25</sup>
	82.000	155.79	06/26/20	153.75	...	2.04	6 of 33 - Sale <sup>25</sup>
	17.000	32.30	06/26/20	28.98	...	3.32	7 of 33 - Sale <sup>25</sup>
	200.000	379.96	06/26/20	376.00	...	3.96	8 of 33 - Sale <sup>25</sup>
	200.000	379.97	06/26/20	376.00	...	3.97	9 of 33 - Sale <sup>25</sup>
	284.000	539.55	06/26/20	532.50	...	7.05	10 of 33 - Sale <sup>25</sup>
	26.000	49.40	06/26/20	36.81	...	12.59	11 of 33 - Sale <sup>25</sup>
	100.000	189.98	06/26/20	166.00	...	23.98	12 of 33 - Sale <sup>25</sup>
	183.000	347.67	06/26/20	312.02	...	35.65	13 of 33 - Sale <sup>25</sup>

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Account 132582909

**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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IDEANOMICS, INC. COMMON STOCK / CUSIP: 45166V106 / Symbol: (cont'd)							
	100.000	192.98	06/26/20	142.00	...	50.98	14 of 33 - Sale <sup>25</sup>
	300.000	569.94	06/26/20	511.50	...	58.44	15 of 33 - Sale <sup>25</sup>
	100.000	192.98	06/26/20	131.50	...	61.48	16 of 33 - Sale <sup>25</sup>
	100.000	192.99	06/26/20	131.50	...	61.49	17 of 33 - Sale <sup>25</sup>
	100.000	194.99	06/26/20	131.50	...	63.49	18 of 33 - Sale <sup>25</sup>
	300.000	569.95	06/26/20	498.00	...	71.95	19 of 33 - Sale <sup>25</sup>
	300.000	569.95	06/26/20	498.00	...	71.95	20 of 33 - Sale <sup>25</sup>
	300.000	569.95	06/26/20	498.00	...	71.95	21 of 33 - Sale <sup>25</sup>
	200.000	379.97	06/26/20	284.00	...	95.97	22 of 33 - Sale <sup>25</sup>
	200.000	379.98	06/26/20	283.14	...	96.84	23 of 33 - Sale <sup>25</sup>
	200.000	385.96	06/26/20	284.00	...	101.96	24 of 33 - Sale <sup>25</sup>
	200.000	385.96	06/26/20	284.00	...	101.96	25 of 33 - Sale <sup>25</sup>
	300.000	578.94	06/26/20	394.50	...	184.44	26 of 33 - Sale <sup>25</sup>
	300.000	584.94	06/26/20	394.50	...	190.44	27 of 33 - Sale <sup>25</sup>
	300.000	584.94	06/26/20	394.50	...	190.44	28 of 33 - Sale <sup>25</sup>
	300.000	584.94	06/26/20	394.50	...	190.44	29 of 33 - Sale <sup>25</sup>
	400.000	759.93	06/26/20	568.00	...	191.93	30 of 33 - Sale <sup>25</sup>
	400.000	759.93	06/26/20	568.00	...	191.93	31 of 33 - Sale <sup>25</sup>
	500.000	949.91	06/26/20	707.85	...	242.06	32 of 33 - Sale <sup>25</sup>
	774.000	1,470.48	06/26/20	1,095.75	...	374.73	33 of 33 - Sale <sup>25</sup>
06/29/20	7,000.000	13,378.79	Various	10,616.56	...	2,762.23	Total of 33 transactions
INOVIO PHARMACEUTICALS, INC. C OMMON STOCK / CUSIP: 45773H201 / Symbol:							
01/27/20	100.000	551.99	01/24/20	457.99	...	94.00	Sale <sup>25</sup>
INPIXON COMMON STOCK / CUSIP: 45790J503 / Symbol:							
30 transactions for 01/02/20. Total proceeds and cost reported to the IRS.							
	100.000	29.99	01/02/20	28.70	...	1.29	1 of 30 - Sale <sup>25</sup>
	100.000	29.99	01/02/20	28.70	...	1.29	2 of 30 - Sale <sup>25</sup>
	100.000	29.99	01/02/20	28.70	...	1.29	3 of 30 - Sale <sup>25</sup>
	200.000	59.98	01/02/20	57.46	...	2.52	4 of 30 - Sale <sup>25</sup>
	200.000	59.98	01/02/20	57.40	...	2.58	5 of 30 - Sale <sup>25</sup>
	214.000	64.17	01/02/20	61.42	...	2.75	6 of 30 - Sale <sup>25</sup>
	264.000	79.17	01/02/20	75.87	...	3.30	7 of 30 - Sale <sup>25</sup>
	300.000	89.96	01/02/20	86.10	...	3.86	8 of 30 - Sale <sup>25</sup>

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Robinhood Securities LLC

Account 132582909

## 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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INPIXON COMMON STOCK / CUSIP: 45790J503 / Symbol: (cont'd)							
	400.000	119.95	01/02/20	114.92	...	5.03	9 of 30 - Sale <sup>25</sup>
	400.000	119.95	01/02/20	114.80	...	5.15	10 of 30 - Sale <sup>25</sup>
	436.000	130.75	01/02/20	125.31	...	5.44	11 of 30 - Sale <sup>25</sup>
	500.000	149.94	01/02/20	143.50	...	6.44	12 of 30 - Sale <sup>25</sup>
	500.000	149.94	01/02/20	143.50	...	6.44	13 of 30 - Sale <sup>25</sup>
	500.000	149.94	01/02/20	143.50	...	6.44	14 of 30 - Sale <sup>25</sup>
	522.000	156.53	01/02/20	150.02	...	6.51	15 of 30 - Sale <sup>25</sup>
	564.000	169.13	01/02/20	161.87	...	7.26	16 of 30 - Sale <sup>25</sup>
	600.000	179.93	01/02/20	172.20	...	7.73	17 of 30 - Sale <sup>25</sup>
	614.000	184.13	01/02/20	176.22	...	7.91	18 of 30 - Sale <sup>25</sup>
	686.000	205.72	01/02/20	196.88	...	8.84	19 of 30 - Sale <sup>25</sup>
	700.000	209.92	01/02/20	200.90	...	9.02	20 of 30 - Sale <sup>25</sup>
	700.000	209.92	01/02/20	200.90	...	9.02	21 of 30 - Sale <sup>25</sup>
	800.000	239.90	01/02/20	229.60	...	10.30	22 of 30 - Sale <sup>25</sup>
	900.000	269.89	01/02/20	258.30	...	11.59	23 of 30 - Sale <sup>25</sup>
	900.000	269.89	01/02/20	258.30	...	11.59	24 of 30 - Sale <sup>25</sup>
	1,300.000	389.83	01/02/20	373.62	...	16.21	25 of 30 - Sale <sup>25</sup>
	1,300.000	389.85	01/02/20	373.10	...	16.75	26 of 30 - Sale <sup>25</sup>
	1,300.000	389.85	01/02/20	373.10	...	16.75	27 of 30 - Sale <sup>25</sup>
	1,400.000	419.83	01/02/20	401.80	...	18.03	28 of 30 - Sale <sup>25</sup>
	1,500.000	449.82	01/02/20	430.50	...	19.32	29 of 30 - Sale <sup>25</sup>
	2,000.000	599.74	01/02/20	574.00	...	25.74	30 of 30 - Sale <sup>25</sup>
01/02/20	20,000.000	5,997.58	Various	5,741.19	...	256.39	Total of 30 transactions
	11 transactions for 01/03/20. Total proceeds and cost reported to the IRS.						
	15.000	8.17	01/03/20	7.35	...	0.82	1 of 11 - Sale <sup>25</sup>
	30.000	16.35	01/03/20	14.70	...	1.65	2 of 11 - Sale <sup>25</sup>
	42.000	22.88	01/03/20	20.58	...	2.30	3 of 11 - Sale <sup>25</sup>
	159.000	86.63	01/03/20	77.91	...	8.72	4 of 11 - Sale <sup>25</sup>
	407.000	221.76	01/03/20	199.43	...	22.33	5 of 11 - Sale <sup>25</sup>
	410.000	223.40	01/03/20	200.90	...	22.50	6 of 11 - Sale <sup>25</sup>
	501.000	272.98	01/03/20	245.49	...	27.49	7 of 11 - Sale <sup>25</sup>
	727.000	396.12	01/03/20	356.23	...	39.89	8 of 11 - Sale <sup>25</sup>
	972.000	529.62	01/03/20	476.28	...	53.34	9 of 11 - Sale <sup>25</sup>
	1,273.000	693.61	01/03/20	623.77	...	69.84	10 of 11 - Sale <sup>25</sup>

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(continued)

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INPIXON COMMON STOCK / CUSIP: 45790J503 / Symbol: (cont'd)							
01/03/20	1,964.000	1,070.12	01/03/20	962.36	...	107.76	11 of 11 - Sale <sup>25</sup>
	6,500.000	3,541.64	Various	3,185.00	...	356.64	Total of 11 transactions
	6 transactions for 01/06/20. Total proceeds and cost reported to the IRS.						
	1,900.000	360.77	01/06/20	419.90	...	-59.13	1 of 6 - Sale <sup>25</sup>
	1,200.000	227.86	01/06/20	281.54	...	-53.68	2 of 6 - Sale <sup>25</sup>
	1,419.000	269.44	01/06/20	313.60	...	-44.16	3 of 6 - Sale <sup>25</sup>
	600.000	113.93	01/06/20	132.60	...	-18.67	4 of 6 - Sale <sup>25</sup>
	300.000	56.97	01/06/20	70.39	...	-13.42	5 of 6 - Sale <sup>25</sup>
	181.000	34.37	01/06/20	40.00	...	-5.63	6 of 6 - Sale <sup>25</sup>
01/06/20	5,600.000	1,063.34	Various	1,258.03	...	-194.69	Total of 6 transactions
01/06/20	1,900.000	360.77	01/06/20	419.90	46.68 W	-12.45	Sale <sup>25</sup>
	<b>Security total:</b>	<b>10,963.33</b>		<b>10,604.12</b>	<b>46.68 W</b>	<b>405.89</b>	
INVESCO MORTGAGE CAPITAL INC. / CUSIP: 46131B100 / Symbol:							
	5 transactions for 04/14/20. Total proceeds and cost reported to the IRS.						
	600.000	2,645.99	04/13/20	2,633.94	...	12.05	1 of 5 - Sale <sup>25</sup>
	32.000	141.12	04/13/20	117.12	...	24.00	2 of 5 - Sale <sup>25</sup>
	100.000	441.00	04/13/20	408.85	...	32.15	3 of 5 - Sale <sup>25</sup>
	100.000	441.00	04/13/20	366.00	...	75.00	4 of 5 - Sale <sup>25</sup>
	168.000	740.87	04/13/20	614.88	...	125.99	5 of 5 - Sale <sup>25</sup>
04/14/20	1,000.000	4,409.98	Various	4,140.79	...	269.19	Total of 5 transactions
	6 transactions for 04/21/20. Total proceeds and cost reported to the IRS.						
	11.000	31.24	04/20/20	28.27	...	2.97	1 of 6 - Sale <sup>25</sup>
	89.000	251.86	04/20/20	228.73	...	23.13	2 of 6 - Sale <sup>25</sup>
	89.000	252.74	04/20/20	228.73	...	24.01	3 of 6 - Sale <sup>25</sup>
	100.000	282.98	04/20/20	257.00	...	25.98	4 of 6 - Sale <sup>25</sup>
	100.000	282.98	04/20/20	257.00	...	25.98	5 of 6 - Sale <sup>25</sup>
	100.000	283.98	04/20/20	257.00	...	26.98	6 of 6 - Sale <sup>25</sup>
04/21/20	489.000	1,385.78	Various	1,256.73	...	129.05	Total of 6 transactions
	27 transactions for 05/04/20. Total proceeds and cost reported to the IRS.						
	59.000	165.78	04/30/20	176.41	10.63 W	0.00	1 of 27 - Sale <sup>25</sup>
	41.000	115.20	04/30/20	122.59	7.39 W	0.00	2 of 27 - Sale <sup>25</sup>
	78.000	219.16	04/30/20	237.12	17.96 W	0.00	3 of 27 - Sale <sup>25</sup>

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(continued)

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INVESCO MORTGAGE CAPITAL INC. / CUSIP: 46131B100 / Symbol: (cont'd)							
	22.000	61.82	04/30/20	66.88	5.06 W	0.00	4 of 27 - Sale <sup>25</sup>
	24.000	67.44	04/30/20	77.28	9.84 W	0.00	5 of 27 - Sale <sup>25</sup>
	41.000	115.20	04/30/20	132.03	16.83 W	0.00	6 of 27 - Sale <sup>25</sup>
	35.000	98.35	04/30/20	112.71	14.36 W	0.00	7 of 27 - Sale <sup>25</sup>
	24.000	67.44	04/30/20	78.49	11.05 W	0.00	8 of 27 - Sale <sup>25</sup>
	44.000	123.64	04/30/20	143.89	20.25 W	0.00	9 of 27 - Sale <sup>25</sup>
	10.000	28.10	04/30/20	32.70	4.60 W	0.00	10 of 27 - Sale <sup>25</sup>
	90.000	252.89	04/30/20	273.60	20.71 W	0.00	11 of 27 - Sale <sup>25</sup>
	110.000	309.08	04/30/20	334.40	25.32 W	0.00	12 of 27 - Sale <sup>25</sup>
	24.000	67.43	04/30/20	82.80	15.37 W	0.00	13 of 27 - Sale <sup>25</sup>
	21.000	59.01	04/30/20	73.51	14.50 W	0.00	14 of 27 - Sale <sup>25</sup>
	35.000	98.34	04/30/20	120.76	22.42 W	0.00	15 of 27 - Sale <sup>25</sup>
	41.000	115.20	04/30/20	141.47	26.27 W	0.00	16 of 27 - Sale <sup>25</sup>
	10.000	28.10	04/30/20	35.00	6.90 W	0.00	17 of 27 - Sale <sup>25</sup>
	3.000	8.43	04/30/20	10.50	2.07 W	0.00	18 of 27 - Sale <sup>25</sup>
	44.000	123.63	04/30/20	154.01	30.38 W	0.00	19 of 27 - Sale <sup>25</sup>
	22.000	61.82	04/30/20	71.94	10.12 W	0.00	20 of 27 - Sale <sup>25</sup>
	90.000	252.88	04/30/20	294.31	41.43 W	0.00	21 of 27 - Sale <sup>25</sup>
	110.000	309.08	04/30/20	359.72	50.64 W	0.00	22 of 27 - Sale <sup>25</sup>
	21.000	59.01	04/30/20	78.34	19.33 W	0.00	23 of 27 - Sale <sup>25</sup>
	24.000	67.44	04/30/20	88.33	20.89 W	0.00	24 of 27 - Sale <sup>25</sup>
	35.000	98.34	04/30/20	128.82	30.48 W	0.00	25 of 27 - Sale <sup>25</sup>
	41.000	115.20	04/30/20	150.91	35.71 W	0.00	26 of 27 - Sale <sup>25</sup>
	79.000	221.97	04/30/20	240.16	18.19 W	0.00	27 of 27 - Sale <sup>25</sup>
05/04/20	1,178.000	3,309.98	Various	3,818.68	508.70 W	0.00	Total of 27 transactions
	17 transactions for 05/11/20. Total proceeds and cost reported to the IRS.						
	110.000	300.28	05/08/20	348.74	...	-48.46	1 of 17 - Sale <sup>25</sup>
	90.000	245.68	05/08/20	285.33	...	-39.65	2 of 17 - Sale <sup>25</sup>
	35.000	95.54	05/08/20	124.64	...	-29.10	3 of 17 - Sale <sup>25</sup>
	43.000	117.38	05/08/20	146.22	...	-28.84	4 of 17 - Sale <sup>25</sup>
	23.000	62.79	05/08/20	81.89	...	-19.10	5 of 17 - Sale <sup>25</sup>
	21.000	57.33	05/08/20	76.24	...	-18.91	6 of 17 - Sale <sup>25</sup>
	21.000	57.32	05/08/20	74.78	...	-17.46	7 of 17 - Sale <sup>25</sup>
	79.000	215.66	05/08/20	232.28	...	-16.62	8 of 17 - Sale <sup>25</sup>

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(continued)

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INVESCO MORTGAGE CAPITAL INC. / CUSIP: 46131B100 / Symbol: (cont'd)							
	13.000	35.49	05/08/20	46.29	...	-10.80	9 of 17 - Sale <sup>25</sup>
	22.000	60.06	05/08/20	69.74	...	-9.68	10 of 17 - Sale <sup>25</sup>
	10.000	27.30	05/08/20	34.00	...	-6.70	11 of 17 - Sale <sup>25</sup>
	6.000	16.38	05/08/20	21.37	...	-4.99	12 of 17 - Sale <sup>25</sup>
	3.000	8.19	05/08/20	10.20	...	-2.01	13 of 17 - Sale <sup>25</sup>
	1.000	2.73	05/08/20	3.56	...	-0.83	14 of 17 - Sale <sup>25</sup>
	1.000	2.73	05/08/20	3.56	...	-0.83	15 of 17 - Sale <sup>25</sup>
	1.000	2.73	05/08/20	3.40	...	-0.67	16 of 17 - Sale <sup>25</sup>
	1,421.000	3,879.07	05/08/20	3,850.91	...	28.16	17 of 17 - Sale <sup>25</sup>
05/11/20	1,900.000	5,186.66	Various	5,413.15	...	-226.49	Total of 17 transactions
	6 transactions for 05/11/20. Total proceeds and cost reported to the IRS.						
	1.000	2.73	05/08/20	3.58	0.85 W	0.00	1 of 6 - Sale <sup>25</sup>
	23.000	62.79	05/08/20	82.35	19.56 W	0.00	2 of 6 - Sale <sup>25</sup>
	35.000	95.54	05/08/20	125.33	29.79 W	0.00	3 of 6 - Sale <sup>25</sup>
	34.000	92.82	05/08/20	121.75	28.93 W	0.00	4 of 6 - Sale <sup>25</sup>
	1.000	2.73	05/08/20	3.58	0.85 W	0.00	5 of 6 - Sale <sup>25</sup>
	6.000	16.38	05/08/20	21.49	5.11 W	0.00	6 of 6 - Sale <sup>25</sup>
05/11/20	100.000	272.99	Various	358.08	85.09 W	0.00	Total of 6 transactions
07/08/20	800.000	2,631.84	07/06/20	2,622.16	...	9.68	Sale <sup>25</sup>
	13 transactions for 07/08/20. Total proceeds and cost reported to the IRS.						
	100.000	328.99	06/23/20	411.00	82.01 W	0.00	1 of 13 - Sale <sup>25</sup>
	150.000	493.47	06/23/20	616.50	123.03 W	0.00	2 of 13 - Sale <sup>25</sup>
	100.000	328.97	06/29/20	443.01	114.04 W	0.00	3 of 13 - Sale <sup>25</sup>
	50.000	164.49	06/29/20	180.50	16.01 W	0.00	4 of 13 - Sale <sup>25</sup>
	150.000	493.47	06/29/20	664.53	171.06 W	0.00	5 of 13 - Sale <sup>25</sup>
	210.000	690.86	06/29/20	758.10	67.24 W	0.00	6 of 13 - Sale <sup>25</sup>
	1,258.000	4,138.58	06/29/20	4,541.38	402.80 W	0.00	7 of 13 - Sale <sup>25</sup>
	82.000	269.76	06/29/20	389.53	119.77 W	0.00	8 of 13 - Sale <sup>25</sup>
	100.000	328.98	06/29/20	475.04	146.06 W	0.00	9 of 13 - Sale <sup>25</sup>
	50.000	164.49	06/29/20	196.51	32.02 W	0.00	10 of 13 - Sale <sup>25</sup>
	68.000	223.71	07/02/20	316.23	92.52 W	0.00	11 of 13 - Sale <sup>25</sup>
	210.000	690.86	07/02/20	804.34	113.48 W	0.00	12 of 13 - Sale <sup>25</sup>
	222.000	730.34	07/02/20	779.22	48.88 W	0.00	13 of 13 - Sale <sup>25</sup>
07/08/20	2,750.000	9,046.97	Various	10,575.89	1,528.92 W	0.00	Total of 13 transactions

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Robinhood Securities LLC

Account 132582909

## 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
INVESCO MORTGAGE CAPITAL INC. / CUSIP: 46131B100 / Symbol: (cont'd)							
8 transactions for 07/10/20. Total proceeds and cost reported to the IRS.							
	1,258.000	4,115.94	07/09/20	4,489.79	...	-373.85	1 of 8 - Sale <sup>25</sup>
	100.000	327.18	07/09/20	470.94	...	-143.76	2 of 8 - Sale <sup>25</sup>
	82.000	268.29	07/09/20	386.17	...	-117.88	3 of 8 - Sale <sup>25</sup>
	210.000	687.08	07/09/20	795.73	...	-108.65	4 of 8 - Sale <sup>25</sup>
	68.000	222.48	07/09/20	313.44	...	-90.96	5 of 8 - Sale <sup>25</sup>
	222.000	726.34	07/09/20	770.11	...	-43.77	6 of 8 - Sale <sup>25</sup>
	50.000	163.59	07/09/20	194.46	...	-30.87	7 of 8 - Sale <sup>25</sup>
	1,560.000	5,104.02	07/09/20	5,068.13	...	35.89	8 of 8 - Sale <sup>25</sup>
07/10/20	3,550.000	11,614.92	Various	12,488.77	...	-873.85	Total of 8 transactions
	<b>Security total:</b>	<b>37,859.12</b>		<b>40,674.25</b>	<b>2,122.71 W</b>	<b>-692.42</b>	
IVERIC BIO, INC. COMMON STOCK / CUSIP: 46583P102 / Symbol:							
2 transactions for 01/16/20. Total proceeds and cost reported to the IRS.							
	100.000	649.97	01/08/20	798.00	...	-148.03	1 of 2 - Sale <sup>25</sup>
	50.000	324.98	01/08/20	399.00	...	-74.02	2 of 2 - Sale <sup>25</sup>
01/16/20	150.000	974.95	Various	1,197.00	...	-222.05	Total of 2 transactions
7 transactions for 05/06/20. Total proceeds and cost reported to the IRS.							
	100.000	393.99	05/06/20	404.61	...	-10.62	1 of 7 - Sale <sup>25</sup>
	100.000	393.99	05/06/20	404.61	...	-10.62	2 of 7 - Sale <sup>25</sup>
	100.000	393.99	05/06/20	404.61	...	-10.62	3 of 7 - Sale <sup>25</sup>
	90.000	354.59	05/06/20	364.15	...	-9.56	4 of 7 - Sale <sup>25</sup>
	74.000	291.55	05/06/20	299.41	...	-7.86	5 of 7 - Sale <sup>25</sup>
	26.000	102.44	05/06/20	105.20	...	-2.76	6 of 7 - Sale <sup>25</sup>
	10.000	39.40	05/06/20	41.76	...	-2.36	7 of 7 - Sale <sup>25</sup>
05/06/20	500.000	1,969.95	Various	2,024.35	...	-54.40	Total of 7 transactions
05/06/20	10.000	39.40	05/06/20	40.70	1.30 W	0.00	Sale <sup>25</sup>
	<b>Security total:</b>	<b>2,984.30</b>		<b>3,262.05</b>	<b>1.30 W</b>	<b>-276.45</b>	
KINGOLD JEWELRY INC. / CUSIP: 49579A303 / Symbol:							
4 transactions for 07/01/20. Total proceeds and cost reported to the IRS.							
	2,182.000	1,352.33	07/01/20	1,374.88	...	-22.55	1 of 4 - Sale <sup>25</sup>
	856.000	530.52	07/01/20	548.21	...	-17.69	2 of 4 - Sale <sup>25</sup>

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Robinhood Securities LLC

Account 132582909

**Proceeds from Broker and Barter Exchange Transactions**

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

(continued)

02/14/2021

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

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

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1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
KINGOLD JEWELRY INC. / CUSIP: 49579A303 / Symbol: (cont'd)							
	382.000	236.75	07/01/20	240.70	...	-3.95	3 of 4 - Sale <sup>25</sup>
	362.000	224.35	07/01/20	228.18	...	-3.83	4 of 4 - Sale <sup>25</sup>
07/01/20	3,782.000	2,343.95	Various	2,391.97	...	-48.02	Total of 4 transactions
	2 transactions for 07/01/20. Total proceeds and cost reported to the IRS.						
	362.000	228.02	07/01/20	228.10	0.08 W	0.00	1 of 2 - Sale <sup>25</sup>
	856.000	530.51	07/01/20	539.36	8.85 W	0.00	2 of 2 - Sale <sup>25</sup>
07/01/20	1,218.000	758.53	Various	767.46	8.93 W	0.00	Total of 2 transactions
	<b>Security total:</b>	<b>3,102.48</b>		<b>3,159.43</b>	<b>8.93 W</b>	<b>-48.02</b>	
KURA SUSHI USA, INC. CLASS A C OMMON STOCK / CUSIP: 501270102 / Symbol:							
02/24/20	1.000	23.11	01/06/20	27.73	...	-4.62	Sale <sup>25</sup>
LIBERTY TRIPADVISOR HOLDINGS, INC. SERIES B COMMON STOCK / CUSIP: 531465201 / Symbol:							
04/16/20	1.000	65.00	04/15/20	124.00	...	-59.00	Sale <sup>25</sup>
MICROSOFT CORPORATION COMMON S TOCK / CUSIP: 594918104 / Symbol:							
	2 transactions for 04/29/20. Total proceeds and cost reported to the IRS.						
	10.000	1,824.96	04/29/20	1,793.70	...	31.26	1 of 2 - Sale <sup>25</sup>
	40.000	7,299.83	04/29/20	7,174.80	...	125.03	2 of 2 - Sale <sup>25</sup>
04/29/20	50.000	9,124.79	Various	8,968.50	...	156.29	Total of 2 transactions
	2 transactions for 07/14/20. Total proceeds and cost reported to the IRS.						
	50.000	10,208.27	07/13/20	10,607.37	...	-399.10	1 of 2 - Sale <sup>25</sup>
	50.000	10,208.27	07/13/20	10,587.50	...	-379.23	2 of 2 - Sale <sup>25</sup>
07/14/20	100.000	20,416.54	Various	21,194.87	...	-778.33	Total of 2 transactions
07/14/20	50.000	10,208.27	07/13/20	10,712.50	302.54 W	-201.69	Sale <sup>25</sup>
07/23/20	30.000	6,235.37	07/22/20	6,521.54	...	-286.17	Sale <sup>25</sup>
	<b>Security total:</b>	<b>45,984.97</b>		<b>47,397.41</b>	<b>302.54 W</b>	<b>-1,109.90</b>	
MILESTONE PHARMACEUTICALS INC. COMMON SHARES / CUSIP: 59935V107 / Symbol:							
07/23/20	1.000	6.93	07/23/20	6.91	...	0.02	Sale <sup>25</sup>

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Robinhood Securities LLC

Account 132582909

**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
MIRAGEN THERAPEUTICS, INC. COM MON STOCK / CUSIP: 60463E103 / Symbol:							
<i>8 transactions for 06/17/20. Total proceeds and cost reported to the IRS.</i>							
	30.000	39.90	06/17/20	33.00	...	6.90	1 of 8 - Sale <sup>25</sup>
	30.000	39.90	06/17/20	33.00	...	6.90	2 of 8 - Sale <sup>25</sup>
	70.000	93.09	06/17/20	77.00	...	16.09	3 of 8 - Sale <sup>25</sup>
	130.000	172.88	06/17/20	143.00	...	29.88	4 of 8 - Sale <sup>25</sup>
	170.000	226.08	06/17/20	187.00	...	39.08	5 of 8 - Sale <sup>25</sup>
	170.000	226.08	06/17/20	187.00	...	39.08	6 of 8 - Sale <sup>25</sup>
	200.000	265.98	06/17/20	220.00	...	45.98	7 of 8 - Sale <sup>25</sup>
	200.000	265.98	06/17/20	220.00	...	45.98	8 of 8 - Sale <sup>25</sup>
06/17/20	1,000.000	1,329.89	Various	1,100.00	...	229.89	Total of 8 transactions
NETFLIX, INC. COMMON STOCK / CUSIP: 64110L106 / Symbol:							
01/08/20	5.000	1,669.76	01/07/20	1,656.00	...	13.76	Sale <sup>25</sup>
01/23/20	6.000	2,096.53	01/21/20	2,008.20	...	88.33	Sale <sup>25</sup>
07/17/20	1.000	491.93	07/16/20	465.00	...	26.93	Sale <sup>25</sup>
	<b>Security total:</b>	<b>4,258.22</b>		<b>4,129.20</b>	...	<b>129.02</b>	
NEUROMETRIX, INC. COMMON STOCK / CUSIP: 641255807 / Symbol:							
<i>4 transactions for 06/19/20. Total proceeds and cost reported to the IRS.</i>							
	100.000	182.98	06/18/20	181.00	...	1.98	1 of 4 - Sale <sup>25</sup>
	100.000	182.98	06/18/20	181.00	...	1.98	2 of 4 - Sale <sup>25</sup>
	100.000	182.99	06/18/20	181.00	...	1.99	3 of 4 - Sale <sup>25</sup>
	200.000	365.96	06/18/20	362.00	...	3.96	4 of 4 - Sale <sup>25</sup>
06/19/20	500.000	914.91	Various	905.00	...	9.91	Total of 4 transactions
<i>18 transactions for 06/24/20. Total proceeds and cost reported to the IRS.</i>							
	2,100.000	4,304.66	06/24/20	4,368.00	...	-63.34	1 of 18 - Sale <sup>25</sup>
	900.000	1,844.86	06/24/20	1,872.00	...	-27.14	2 of 18 - Sale <sup>25</sup>
	38.000	77.89	06/24/20	80.56	...	-2.67	3 of 18 - Sale <sup>25</sup>
	31.000	63.54	06/24/20	65.72	...	-2.18	4 of 18 - Sale <sup>25</sup>
	31.000	63.55	06/24/20	65.72	...	-2.17	5 of 18 - Sale <sup>25</sup>
	38.000	77.89	06/24/20	79.80	...	-1.91	6 of 18 - Sale <sup>25</sup>
	62.000	127.09	06/24/20	128.96	...	-1.87	7 of 18 - Sale <sup>25</sup>
	31.000	63.54	06/24/20	65.10	...	-1.56	8 of 18 - Sale <sup>25</sup>
	100.000	225.98	06/24/20	221.00	...	4.98	9 of 18 - Sale <sup>25</sup>

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Account 132582909

## 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
NEUROMETRIX, INC. COMMON STOCK / CUSIP: 641255807 / Symbol: (cont'd)							
	100.000	225.98	06/24/20	221.00	...	4.98	10 of 18 - Sale <sup>25</sup>
	100.000	225.98	06/24/20	221.00	...	4.98	11 of 18 - Sale <sup>25</sup>
	100.000	225.98	06/24/20	220.00	...	5.98	12 of 18 - Sale <sup>25</sup>
	100.000	225.98	06/24/20	220.00	...	5.98	13 of 18 - Sale <sup>25</sup>
	200.000	451.97	06/24/20	442.00	...	9.97	14 of 18 - Sale <sup>25</sup>
	500.000	1,129.91	06/24/20	1,104.90	...	25.01	15 of 18 - Sale <sup>25</sup>
	700.000	1,581.89	06/24/20	1,547.00	...	34.89	16 of 18 - Sale <sup>25</sup>
	800.000	1,807.86	06/24/20	1,768.00	...	39.86	17 of 18 - Sale <sup>25</sup>
	800.000	1,807.87	06/24/20	1,767.84	...	40.03	18 of 18 - Sale <sup>25</sup>
06/24/20	6,731.000	14,532.42	Various	14,458.60	...	73.82	Total of 18 transactions
	4 transactions for 06/24/20. Total proceeds and cost reported to the IRS.						
	100.000	206.01	06/24/20	208.00	1.99 W	0.00	1 of 4 - Sale <sup>25</sup>
	69.000	142.14	06/24/20	143.52	1.38 W	0.00	2 of 4 - Sale <sup>25</sup>
	31.000	63.86	06/24/20	65.10	1.24 W	0.00	3 of 4 - Sale <sup>25</sup>
	69.000	142.13	06/24/20	144.89	2.76 W	0.00	4 of 4 - Sale <sup>25</sup>
06/24/20	269.000	554.14	Various	561.51	7.37 W	0.00	Total of 4 transactions
	<b>Security total:</b>	<b>16,001.47</b>		<b>15,925.11</b>	<b>7.37 W</b>	<b>83.73</b>	
NIKOLA CORPORATION COMMON STOC K / CUSIP: 654110105 / Symbol:							
	2 transactions for 07/08/20. Total proceeds and cost reported to the IRS.						
	23.000	1,028.07	07/07/20	1,008.67	...	19.40	1 of 2 - Sale <sup>25</sup>
	27.000	1,206.87	07/07/20	1,184.08	...	22.79	2 of 2 - Sale <sup>25</sup>
07/08/20	50.000	2,234.94	Various	2,192.75	...	42.19	Total of 2 transactions
NORDSTROM, INC. / CUSIP: 655664100 / Symbol:							
	7 transactions for 05/15/20. Total proceeds and cost reported to the IRS.						
	91.000	1,460.51	05/12/20	1,572.48	...	-111.97	1 of 7 - Sale <sup>25</sup>
	50.000	802.47	05/12/20	864.00	...	-61.53	2 of 7 - Sale <sup>25</sup>
	50.000	802.47	05/12/20	864.00	...	-61.53	3 of 7 - Sale <sup>25</sup>
	50.000	802.48	05/12/20	864.00	...	-61.52	4 of 7 - Sale <sup>25</sup>
	41.000	658.03	05/12/20	708.48	...	-50.45	5 of 7 - Sale <sup>25</sup>
	8.000	128.40	05/12/20	148.08	...	-19.68	6 of 7 - Sale <sup>25</sup>
	1.000	16.05	05/12/20	18.51	...	-2.46	7 of 7 - Sale <sup>25</sup>
05/15/20	291.000	4,670.41	Various	5,039.55	...	-369.14	Total of 7 transactions

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Account 132582909

**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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NORDSTROM, INC. / CUSIP: 655664100 / Symbol: (cont'd)							
2 transactions for 05/15/20. Total proceeds and cost reported to the IRS.							
	1.000	16.05	05/12/20	17.28	1.23 W	0.00	1 of 2 - Sale <sup>25</sup>
	8.000	128.40	05/12/20	138.24	9.84 W	0.00	2 of 2 - Sale <sup>25</sup>
05/15/20	9.000	144.45	Various	155.52	11.07 W	0.00	Total of 2 transactions
	<b>Security total:</b>	<b>4,814.86</b>		<b>5,195.07</b>	<b>11.07 W</b>	<b>-369.14</b>	
OCEAN POWER TECHNOLOGIES, INC. COMMON STOCK / CUSIP: 674870506 / Symbol:							
2 transactions for 06/29/20. Total proceeds and cost reported to the IRS.							
	500.000	389.93	06/26/20	386.50	...	3.43	1 of 2 - Sale <sup>25</sup>
	1,000.000	779.86	06/26/20	773.00	...	6.86	2 of 2 - Sale <sup>25</sup>
06/29/20	1,500.000	1,169.79	Various	1,159.50	...	10.29	Total of 2 transactions
OFFICE DEPOT, INC. COMMON STOCK / CUSIP: 676220106 / Symbol:							
01/06/20	999.000	2,398.23	01/03/20	2,437.56	...	-39.33	Sale <sup>25</sup>
01/06/20	1.000	2.40	03/12/19	3.33	0.93 W	0.00	Sale <sup>25</sup>
02/24/20	1.000	2.41	01/03/20	3.37	...	-0.96	Sale <sup>25</sup>
	<b>Security total:</b>	<b>2,403.04</b>		<b>2,444.26</b>	<b>0.93 W</b>	<b>-40.29</b>	
OIL STATES INTERNATIONAL, INC. / CUSIP: 678026105 / Symbol:							
8 transactions for 06/25/20. Total proceeds and cost reported to the IRS.							
	9.000	39.69	06/24/20	39.56	...	0.13	1 of 8 - Sale <sup>25</sup>
	9.000	39.69	06/24/20	39.56	...	0.13	2 of 8 - Sale <sup>25</sup>
	11.000	48.51	06/24/20	48.36	...	0.15	3 of 8 - Sale <sup>25</sup>
	38.000	167.58	06/24/20	167.04	...	0.54	4 of 8 - Sale <sup>25</sup>
	75.000	330.74	06/24/20	329.69	...	1.05	5 of 8 - Sale <sup>25</sup>
	176.000	776.12	06/24/20	773.68	...	2.44	6 of 8 - Sale <sup>25</sup>
	282.000	1,243.56	06/24/20	1,239.65	...	3.91	7 of 8 - Sale <sup>25</sup>
	400.000	1,763.91	06/24/20	1,758.36	...	5.55	8 of 8 - Sale <sup>25</sup>
06/25/20	1,000.000	4,409.80	Various	4,395.90	...	13.90	Total of 8 transactions

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Account 132582909

## Proceeds from Broker and Barter Exchange Transactions

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

(continued)

02/14/2021

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PLANTRONICS, INC. / CUSIP: 727493108 / Symbol:							
2 transactions for 02/10/20. Total proceeds and cost reported to the IRS.							
	32.000	474.86	02/05/20	528.64	...	-53.78	1 of 2 - Sale <sup>25</sup>
	28.000	415.51	02/06/20	420.56	...	-5.05	2 of 2 - Sale <sup>25</sup>
02/10/20	60.000	890.37	Various	949.20	...	-58.83	Total of 2 transactions
PLURISTEM THERAPEUTICS, INC. C OMMON STOCK / CUSIP: 72940R300 / Symbol:							
7 transactions for 05/08/20. Total proceeds and cost reported to the IRS.							
	200.000	2,013.93	05/08/20	1,988.00	...	25.93	1 of 7 - Sale <sup>25</sup>
	100.000	1,006.96	05/08/20	978.00	...	28.96	2 of 7 - Sale <sup>25</sup>
	100.000	1,006.96	05/08/20	978.00	...	28.96	3 of 7 - Sale <sup>25</sup>
	100.000	1,006.97	05/08/20	978.00	...	28.97	4 of 7 - Sale <sup>25</sup>
	400.000	4,027.86	05/08/20	3,976.00	...	51.86	5 of 7 - Sale <sup>25</sup>
	400.000	4,027.86	05/08/20	3,976.00	...	51.86	6 of 7 - Sale <sup>25</sup>
	200.000	2,013.93	05/08/20	1,952.98	...	60.95	7 of 7 - Sale <sup>25</sup>
05/08/20	1,500.000	15,104.47	Various	14,826.98	...	277.49	Total of 7 transactions
3 transactions for 05/11/20. Total proceeds and cost reported to the IRS.							
	141.000	1,347.91	05/08/20	1,412.82	...	-64.91	1 of 3 - Sale <sup>25</sup>
	30.000	288.00	05/08/20	300.60	...	-12.60	2 of 3 - Sale <sup>25</sup>
	29.000	278.40	05/08/20	290.58	...	-12.18	3 of 3 - Sale <sup>25</sup>
05/11/20	200.000	1,914.31	Various	2,004.00	...	-89.69	Total of 3 transactions
	<b>Security total:</b>	<b>17,018.78</b>		<b>16,830.98</b>	...	<b>187.80</b>	
PROGRESS SOFTWARE CORPORATION COMMON STOCK (DE) / CUSIP: 743312100 / Symbol:							
2 transactions for 06/26/20. Total proceeds and cost reported to the IRS.							
	7.000	279.30	06/25/20	254.94	...	24.36	1 of 2 - Sale <sup>25</sup>
	193.000	7,700.50	06/25/20	7,029.06	...	671.44	2 of 2 - Sale <sup>25</sup>
06/26/20	200.000	7,979.80	Various	7,284.00	...	695.80	Total of 2 transactions
PROTAGONIST THERAPEUTICS, INC. COMMON STOCK / CUSIP: 74366E102 / Symbol:							
9 transactions for 05/08/20. Total proceeds and cost reported to the IRS.							
	6.000	99.00	05/08/20	99.00	...	0.00	1 of 9 - Sale <sup>25</sup>
	6.000	99.00	05/08/20	98.03	...	0.97	2 of 9 - Sale <sup>25</sup>
	18.000	296.99	05/08/20	295.21	...	1.78	3 of 9 - Sale <sup>25</sup>

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Robinhood Securities LLC

Account 132582909

## Proceeds from Broker and Barter Exchange Transactions

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

(continued)

02/14/2021

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
PROTAGONIST THERAPEUTICS, INC. COMMON STOCK / CUSIP: 74366E102 / Symbol: (cont'd)							
	32.000	527.98	05/08/20	524.82	...	3.16	4 of 9 - Sale <sup>25</sup>
	50.000	824.97	05/08/20	820.03	...	4.94	5 of 9 - Sale <sup>25</sup>
	94.000	1,550.95	05/08/20	1,530.36	...	20.59	6 of 9 - Sale <sup>25</sup>
	44.000	725.98	05/08/20	702.17	...	23.81	7 of 9 - Sale <sup>25</sup>
	50.000	824.98	05/08/20	797.93	...	27.05	8 of 9 - Sale <sup>25</sup>
	56.000	923.97	05/08/20	890.40	...	33.57	9 of 9 - Sale <sup>25</sup>
05/08/20	356.000	5,873.82	Various	5,757.95	...	115.87	Total of 9 transactions
	3 transactions for 05/08/20. Total proceeds and cost reported to the IRS.						
	100.000	1,649.95	05/08/20	1,665.75	15.80 W	0.00	1 of 3 - Sale <sup>25</sup>
	194.000	3,200.90	05/08/20	3,201.00	0.10 W	0.00	2 of 3 - Sale <sup>25</sup>
	100.000	1,649.95	05/08/20	1,655.80	5.85 W	0.00	3 of 3 - Sale <sup>25</sup>
05/08/20	394.000	6,500.80	Various	6,522.55	21.75 W	0.00	Total of 3 transactions
	<b>Security total:</b>	<b>12,374.62</b>		<b>12,280.50</b>	<b>21.75 W</b>	<b>115.87</b>	
QUALIGEN THERAPEUTICS, INC. COMMON STOCK / CUSIP: 74754R103 / Symbol:							
07/23/20	100.000	488.49	07/22/20	550.00	...	-61.51	Sale <sup>25</sup>
REGULUS THERAPEUTICS INC. COMMON STOCK / CUSIP: 75915K200 / Symbol:							
	20 transactions for 07/06/20. Total proceeds and cost reported to the IRS.						
	500.000	359.98	06/26/20	365.10	...	-5.12	1 of 20 - Sale <sup>25</sup>
	500.000	359.99	06/26/20	365.10	...	-5.11	2 of 20 - Sale <sup>25</sup>
	400.000	287.99	06/26/20	292.08	...	-4.09	3 of 20 - Sale <sup>25</sup>
	400.000	287.99	06/26/20	292.08	...	-4.09	4 of 20 - Sale <sup>25</sup>
	200.000	144.00	06/26/20	148.09	...	-4.09	5 of 20 - Sale <sup>25</sup>
	200.000	144.00	06/26/20	148.09	...	-4.09	6 of 20 - Sale <sup>25</sup>
	172.000	123.83	06/26/20	127.35	...	-3.52	7 of 20 - Sale <sup>25</sup>
	128.000	92.15	06/26/20	94.78	...	-2.63	8 of 20 - Sale <sup>25</sup>
	100.000	72.00	06/26/20	74.05	...	-2.05	9 of 20 - Sale <sup>25</sup>
	200.000	144.00	06/26/20	146.04	...	-2.04	10 of 20 - Sale <sup>25</sup>
	200.000	144.00	06/26/20	146.04	...	-2.04	11 of 20 - Sale <sup>25</sup>
	200.000	144.00	06/26/20	146.04	...	-2.04	12 of 20 - Sale <sup>25</sup>
	200.000	144.00	06/26/20	146.04	...	-2.04	13 of 20 - Sale <sup>25</sup>
	100.000	72.00	06/26/20	74.04	...	-2.04	14 of 20 - Sale <sup>25</sup>
	100.000	72.00	06/26/20	74.04	...	-2.04	15 of 20 - Sale <sup>25</sup>

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Robinhood Securities LLC

Account 132582909

**Proceeds from Broker and Barter Exchange Transactions**

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

(continued)

02/14/2021

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	7- Loss not allowed (X) also not reported (Z)	Gain or loss(-) & Additional information
REGULUS THERAPEUTICS INC. COMM ON STOCK / CUSIP: 75915K200 / Symbol: (cont'd)							
	100.000	72.00	06/26/20	74.04	...	-2.04	16 of 20 - Sale <sup>25</sup>
	72.000	51.84	06/26/20	53.31	...	-1.47	17 of 20 - Sale <sup>25</sup>
	100.000	72.00	06/26/20	73.02	...	-1.02	18 of 20 - Sale <sup>25</sup>
	100.000	72.00	06/26/20	73.02	...	-1.02	19 of 20 - Sale <sup>25</sup>
	28.000	20.16	06/26/20	20.74	...	-0.58	20 of 20 - Sale <sup>25</sup>
07/06/20	4,000.000	2,879.93	Various	2,933.09	...	-53.16	Total of 20 transactions
	2 transactions for 07/06/20. Total proceeds and cost reported to the IRS.						
	1,000.000	719.96	06/26/20	730.20	2.05 W	-8.19	1 of 2 - Sale <sup>25</sup>
	1,000.000	719.96	06/26/20	730.20	10.24 W	0.00	2 of 2 - Sale <sup>25</sup>
07/06/20	2,000.000	1,439.92	Various	1,460.40	12.29 W	-8.19	Total of 2 transactions
	<b>Security total:</b>	<b>4,319.85</b>		<b>4,393.49</b>	<b>12.29 W</b>	<b>-61.35</b>	
RITE AID CORPORATION / CUSIP: 767754872 / Symbol:							
	5 transactions for 04/20/20. Total proceeds and cost reported to the IRS.						
	1.000	12.57	04/16/20	11.33	...	1.24	1 of 5 - Sale <sup>25</sup>
	9.000	113.12	04/16/20	101.97	...	11.15	2 of 5 - Sale <sup>25</sup>
	40.000	502.78	04/16/20	453.20	...	49.58	3 of 5 - Sale <sup>25</sup>
	50.000	628.48	04/16/20	566.00	...	62.48	4 of 5 - Sale <sup>25</sup>
	60.000	754.17	04/16/20	679.80	...	74.37	5 of 5 - Sale <sup>25</sup>
04/20/20	160.000	2,011.12	Various	1,812.30	...	198.82	Total of 5 transactions
RITTER PHARMACEUTICALS, INC. C OMMON STOCK / CUSIP: 767836307 / Symbol:							
02/10/20	5,000.000	1,025.87	02/06/20	1,080.00	...	-54.13	Sale <sup>25</sup>
SCWORX CORP. COMMON STOCK / CUSIP: 78396V109 / Symbol:							
	3 transactions for 04/13/20. Total proceeds and cost reported to the IRS.						
	11.000	67.65	04/13/20	66.77	...	0.88	1 of 3 - Sale <sup>25</sup>
	109.000	670.32	04/13/20	661.63	...	8.69	2 of 3 - Sale <sup>25</sup>
	380.000	2,336.89	04/13/20	2,306.60	...	30.29	3 of 3 - Sale <sup>25</sup>
04/13/20	500.000	3,074.86	Various	3,035.00	...	39.86	Total of 3 transactions

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Robinhood Securities LLC

Account 132582909

**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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SHILOH INDUSTRIES, INC. COMMON STOCK / CUSIP: 824543102 / Symbol:							
3 transactions for 06/17/20. Total proceeds and cost reported to the IRS.							
	950.000	1,139.95	06/15/20	1,501.00	...	-361.05	1 of 3 - Sale <sup>25</sup>
	50.000	60.00	06/15/20	79.00	...	-19.00	2 of 3 - Sale <sup>25</sup>
	500.000	599.98	06/16/20	650.00	...	-50.02	3 of 3 - Sale <sup>25</sup>
06/17/20	1,500.000	1,799.93	Various	2,230.00	...	-430.07	Total of 3 transactions
SLACK TECHNOLOGIES, INC. / CUSIP: 83088V102 / Symbol:							
3 transactions for 04/20/20. Total proceeds and cost reported to the IRS.							
	41.000	1,201.27	04/17/20	1,117.66	...	83.61	1 of 3 - Sale <sup>25</sup>
	59.000	1,728.65	04/17/20	1,608.34	...	120.31	2 of 3 - Sale <sup>25</sup>
	100.000	2,929.92	04/17/20	2,726.00	...	203.92	3 of 3 - Sale <sup>25</sup>
04/20/20	200.000	5,859.84	Various	5,452.00	...	407.84	Total of 3 transactions
3 transactions for 04/24/20. Total proceeds and cost reported to the IRS.							
	110.000	2,915.28	04/23/20	2,912.80	...	2.48	1 of 3 - Sale <sup>25</sup>
	190.000	5,035.49	04/23/20	5,031.20	...	4.29	2 of 3 - Sale <sup>25</sup>
	30.000	795.08	04/23/20	787.50	...	7.58	3 of 3 - Sale <sup>25</sup>
04/24/20	330.000	8,745.85	Various	8,731.50	...	14.35	Total of 3 transactions
	<b>Security total:</b>	<b>14,605.69</b>		<b>14,183.50</b>	...	<b>422.19</b>	
SORRENTO THERAPEUTICS, INC. C OMMON STOCK / CUSIP: 83587F202 / Symbol:							
14 transactions for 07/20/20. Total proceeds and cost reported to the IRS.							
	4.000	33.32	07/20/20	33.20	...	0.12	1 of 14 - Sale <sup>25</sup>
	10.000	83.20	07/20/20	83.00	...	0.20	2 of 14 - Sale <sup>25</sup>
	8.000	66.64	07/20/20	66.40	...	0.24	3 of 14 - Sale <sup>25</sup>
	15.000	124.79	07/20/20	124.50	...	0.29	4 of 14 - Sale <sup>25</sup>
	2.000	16.66	07/20/20	16.22	...	0.44	5 of 14 - Sale <sup>25</sup>
	45.000	374.39	07/20/20	373.50	...	0.89	6 of 14 - Sale <sup>25</sup>
	94.000	782.99	07/20/20	780.20	...	2.79	7 of 14 - Sale <sup>25</sup>
	100.000	832.97	07/20/20	830.00	...	2.97	8 of 14 - Sale <sup>25</sup>
	156.000	1,297.87	07/20/20	1,294.80	...	3.07	9 of 14 - Sale <sup>25</sup>
	274.000	2,279.59	07/20/20	2,274.20	...	5.39	10 of 14 - Sale <sup>25</sup>
	294.000	2,448.92	07/20/20	2,440.20	...	8.72	11 of 14 - Sale <sup>25</sup>
	100.000	832.97	07/20/20	811.00	...	21.97	12 of 14 - Sale <sup>25</sup>

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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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SORRENTO THERAPEUTICS, INC. C OMMON STOCK / CUSIP: 83587F202 / Symbol: (cont'd)							
	198.000	1,649.28	07/20/20	1,605.78	...	43.50	13 of 14 - Sale <sup>25</sup>
	200.000	1,665.93	07/20/20	1,622.00	...	43.93	14 of 14 - Sale <sup>25</sup>
07/20/20	1,500.000	12,489.52	Various	12,355.00	...	134.52	Total of 14 transactions
SOUTHWEST AIRLINES CO. / CUSIP: 844741108 / Symbol:							
2 transactions for 05/05/20. Total proceeds and cost reported to the IRS.							
	80.000	2,159.94	05/04/20	2,317.46	...	-157.52	1 of 2 - Sale <sup>25</sup>
	10.000	269.99	05/04/20	289.00	...	-19.01	2 of 2 - Sale <sup>25</sup>
05/05/20	90.000	2,429.93	Various	2,606.46	...	-176.53	Total of 2 transactions
05/05/20	100.000	2,699.93	05/01/20	2,894.91	175.48 W	-19.50	Sale <sup>25</sup>
	<b>Security total:</b>	<b>5,129.86</b>		<b>5,501.37</b>	<b>175.48 W</b>	<b>-196.03</b>	
SPIRIT AIRLINES, INC. / CUSIP: 848577102 / Symbol:							
2 transactions for 06/15/20. Total proceeds and cost reported to the IRS.							
	100.000	1,722.95	06/15/20	1,700.00	...	22.95	1 of 2 - Sale <sup>25</sup>
	400.000	6,891.79	06/15/20	6,800.00	...	91.79	2 of 2 - Sale <sup>25</sup>
06/15/20	500.000	8,614.74	Various	8,500.00	...	114.74	Total of 2 transactions
2 transactions for 07/09/20. Total proceeds and cost reported to the IRS.							
	11.000	182.60	07/08/20	178.15	...	4.45	1 of 2 - Sale <sup>25</sup>
	339.000	5,627.23	07/08/20	5,490.14	...	137.09	2 of 2 - Sale <sup>25</sup>
07/09/20	350.000	5,809.83	Various	5,668.29	...	141.54	Total of 2 transactions
	<b>Security total:</b>	<b>14,424.57</b>		<b>14,168.29</b>	...	<b>256.28</b>	
SQUARE, INC. / CUSIP: 852234103 / Symbol:							
2 transactions for 04/08/20. Total proceeds and cost reported to the IRS.							
	2.000	107.20	04/07/20	99.70	...	7.50	1 of 2 - Sale <sup>25</sup>
	28.000	1,500.76	04/07/20	1,395.80	...	104.96	2 of 2 - Sale <sup>25</sup>
04/08/20	30.000	1,607.96	Various	1,495.50	...	112.46	Total of 2 transactions
STARBUCKS CORPORATION COMMON S TOCK / CUSIP: 855244109 / Symbol:							
04/30/20	100.000	7,752.35	04/29/20	7,704.95	...	47.40	Sale <sup>25</sup>

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Account 132582909

**Proceeds from Broker and Barter Exchange Transactions**

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

(continued)

02/14/2021

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SUPER LEAGUE GAMING, INC. COMM ON STOCK / CUSIP: 86804F202 / Symbol:							
2 transactions for 01/15/20. Total proceeds and cost reported to the IRS.							
	80.000	287.98	01/14/20	283.66	...	4.32	1 of 2 - Sale <sup>25</sup>
	400.000	1,439.92	01/14/20	1,416.16	...	23.76	2 of 2 - Sale <sup>25</sup>
01/15/20	480.000	1,727.90	Various	1,699.82	...	28.08	Total of 2 transactions
T-MOBILE US, INC. COMMON STOCK / CUSIP: 872590104 / Symbol:							
2 transactions for 04/29/20. Total proceeds and cost reported to the IRS.							
	80.000	7,169.43	04/28/20	7,166.40	...	3.03	1 of 2 - Sale <sup>25</sup>
	100.000	8,961.79	04/28/20	8,958.00	...	3.79	2 of 2 - Sale <sup>25</sup>
04/29/20	180.000	16,131.22	Various	16,124.40	...	6.82	Total of 2 transactions
TESLA, INC. COMMON STOCK / CUSIP: 88160R101 / Symbol:							
3 transactions for 01/29/20. Total proceeds and cost reported to the IRS.							
	4.000	2,387.95	01/15/20	2,075.04	...	312.91	1 of 3 - Sale <sup>25</sup>
	2.000	1,193.97	01/16/20	988.98	...	204.99	2 of 3 - Sale <sup>25</sup>
	2.000	1,193.98	01/16/20	988.98	...	205.00	3 of 3 - Sale <sup>25</sup>
01/29/20	8.000	4,775.90	Various	4,053.00	...	722.90	Total of 3 transactions
07/23/20	5.000	8,299.81	07/22/20	8,275.50	...	24.31	Sale <sup>25</sup>
	<b>Security total:</b>	<b>13,075.71</b>		<b>12,328.50</b>	...	<b>747.21</b>	
THERAPIX BIOSCIENCES LTD AMERI CAN DEPOSITARY RECEIPTS - SPON SORED / CUSIP: 88339A203 / Symbol:							
3 transactions for 04/17/20. Total proceeds and cost reported to the IRS.							
	150.000	49.84	04/14/20	47.04	...	2.80	1 of 3 - Sale <sup>25</sup>
	1,821.000	605.06	04/14/20	571.07	...	33.99	2 of 3 - Sale <sup>25</sup>
	3,029.000	1,006.45	04/14/20	949.89	...	56.56	3 of 3 - Sale <sup>25</sup>
04/17/20	5,000.000	1,661.35	Various	1,568.00	...	93.35	Total of 3 transactions
TITAN PHARMACEUTICALS, INC. CO MMON STOCK / CUSIP: 888314507 / Symbol:							
46 transactions for 01/09/20. Total proceeds and cost reported to the IRS.							
	1,600.000	415.81	01/06/20	504.32	88.51 W	0.00	1 of 46 - Sale <sup>25</sup>
	100.000	25.99	01/06/20	31.52	5.53 W	0.00	2 of 46 - Sale <sup>25</sup>
	200.000	51.97	01/06/20	63.04	11.07 W	0.00	3 of 46 - Sale <sup>25</sup>
	100.000	25.99	01/06/20	37.05	11.06 W	0.00	4 of 46 - Sale <sup>25</sup>
	400.000	103.95	01/06/20	148.21	44.26 W	0.00	5 of 46 - Sale <sup>25</sup>

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Robinhood Securities LLC

Account 132582909

## 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
TITAN PHARMACEUTICALS, INC. CO MMON STOCK / CUSIP: 888314507 / Symbol: (cont'd)							
	100.000	25.99	01/06/20	37.05	11.06 W	0.00	6 of 46 - Sale <sup>25</sup>
	200.000	51.98	01/06/20	74.10	22.12 W	0.00	7 of 46 - Sale <sup>25</sup>
	700.000	181.91	01/06/20	259.37	77.46 W	0.00	8 of 46 - Sale <sup>25</sup>
	100.000	25.99	01/06/20	42.58	16.59 W	0.00	9 of 46 - Sale <sup>25</sup>
	100.000	25.99	01/06/20	42.58	16.59 W	0.00	10 of 46 - Sale <sup>25</sup>
	200.000	51.98	01/06/20	85.16	33.18 W	0.00	11 of 46 - Sale <sup>25</sup>
	400.000	103.95	01/06/20	170.34	66.39 W	0.00	12 of 46 - Sale <sup>25</sup>
	100.000	25.99	01/06/20	37.05	11.06 W	0.00	13 of 46 - Sale <sup>25</sup>
	100.000	25.99	01/06/20	37.05	11.06 W	0.00	14 of 46 - Sale <sup>25</sup>
	200.000	51.97	01/06/20	74.11	22.14 W	0.00	15 of 46 - Sale <sup>25</sup>
	700.000	181.91	01/06/20	220.64	38.73 W	0.00	16 of 46 - Sale <sup>25</sup>
	1,700.000	441.79	01/06/20	535.84	94.05 W	0.00	17 of 46 - Sale <sup>25</sup>
	400.000	103.95	01/06/20	124.40	20.45 W	0.00	18 of 46 - Sale <sup>25</sup>
	800.000	207.90	01/06/20	248.80	40.90 W	0.00	19 of 46 - Sale <sup>25</sup>
	800.000	207.90	01/06/20	248.80	40.90 W	0.00	20 of 46 - Sale <sup>25</sup>
	86.000	22.35	01/06/20	24.85	2.50 W	0.00	21 of 46 - Sale <sup>25</sup>
	1,875.000	487.27	01/06/20	541.88	54.61 W	0.00	22 of 46 - Sale <sup>25</sup>
	289.000	75.10	01/06/20	83.52	8.42 W	0.00	23 of 46 - Sale <sup>25</sup>
	3,150.000	818.61	01/06/20	910.35	91.74 W	0.00	24 of 46 - Sale <sup>25</sup>
	300.000	77.96	01/06/20	86.70	8.74 W	0.00	25 of 46 - Sale <sup>25</sup>
	300.000	77.96	01/06/20	86.70	8.74 W	0.00	26 of 46 - Sale <sup>25</sup>
	289.000	83.78	01/06/20	115.50	31.72 W	0.00	27 of 46 - Sale <sup>25</sup>
	62.000	17.97	01/06/20	24.78	6.81 W	0.00	28 of 46 - Sale <sup>25</sup>
	300.000	86.96	01/06/20	119.90	32.94 W	0.00	29 of 46 - Sale <sup>25</sup>
	100.000	28.99	01/06/20	45.49	16.50 W	0.00	30 of 46 - Sale <sup>25</sup>
	26.000	7.54	01/06/20	11.83	4.29 W	0.00	31 of 46 - Sale <sup>25</sup>
	400.000	115.95	01/06/20	181.99	66.04 W	0.00	32 of 46 - Sale <sup>25</sup>
	74.000	21.45	01/06/20	33.66	12.21 W	0.00	33 of 46 - Sale <sup>25</sup>
	200.000	57.98	01/06/20	90.98	33.00 W	0.00	34 of 46 - Sale <sup>25</sup>
	49.000	14.20	01/06/20	19.58	5.38 W	0.00	35 of 46 - Sale <sup>25</sup>
	100.000	28.99	01/06/20	39.96	10.97 W	0.00	36 of 46 - Sale <sup>25</sup>
	100.000	28.99	01/06/20	39.96	10.97 W	0.00	37 of 46 - Sale <sup>25</sup>
	200.000	57.98	01/06/20	79.94	21.96 W	0.00	38 of 46 - Sale <sup>25</sup>
	100.000	28.99	01/06/20	34.43	5.44 W	0.00	39 of 46 - Sale <sup>25</sup>

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Robinhood Securities LLC

Account 132582909

## Proceeds from Broker and Barter Exchange Transactions

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

(continued)

02/14/2021

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TITAN PHARMACEUTICALS, INC. CO MMON STOCK / CUSIP: 888314507 / Symbol: (cont'd)							
	561.000	162.62	01/06/20	192.61	29.99 W	0.00	40 of 46 - Sale <sup>25</sup>
	39.000	11.31	01/06/20	13.39	2.08 W	0.00	41 of 46 - Sale <sup>25</sup>
	61.000	17.68	01/06/20	20.94	3.26 W	0.00	42 of 46 - Sale <sup>25</sup>
	639.000	185.23	01/06/20	219.38	34.15 W	0.00	43 of 46 - Sale <sup>25</sup>
	300.000	86.97	01/06/20	101.74	14.77 W	0.00	44 of 46 - Sale <sup>25</sup>
	400.000	115.95	01/06/20	135.65	19.70 W	0.00	45 of 46 - Sale <sup>25</sup>
	1,000.000	289.88	01/06/20	343.33	53.45 W	0.00	46 of 46 - Sale <sup>25</sup>
01/09/20	20,000.000	5,347.56	Various	6,621.05	1,273.49 W	0.00	Total of 46 transactions
	14 transactions for 01/13/20. Total proceeds and cost reported to the IRS.						
	2.000	0.57	01/09/20	0.67	0.10 W	0.00	1 of 14 - Sale <sup>25</sup>
	110.000	31.34	01/09/20	36.90	5.56 W	0.00	2 of 14 - Sale <sup>25</sup>
	86.000	24.50	01/09/20	26.96	2.46 W	0.00	3 of 14 - Sale <sup>25</sup>
	388.000	110.53	01/09/20	130.19	19.66 W	0.00	4 of 14 - Sale <sup>25</sup>
	726.000	206.81	01/09/20	227.61	20.80 W	0.00	5 of 14 - Sale <sup>25</sup>
	800.000	227.90	01/09/20	268.42	40.52 W	0.00	6 of 14 - Sale <sup>25</sup>
	707.000	201.40	01/09/20	221.67	20.27 W	0.00	7 of 14 - Sale <sup>25</sup>
	50.000	14.25	01/09/20	15.68	1.43 W	0.00	8 of 14 - Sale <sup>25</sup>
	289.000	82.33	01/09/20	90.61	8.28 W	0.00	9 of 14 - Sale <sup>25</sup>
	300.000	85.47	01/09/20	94.06	8.59 W	0.00	10 of 14 - Sale <sup>25</sup>
	19.000	5.41	01/09/20	5.96	0.55 W	0.00	11 of 14 - Sale <sup>25</sup>
	392.000	111.67	01/09/20	122.90	11.23 W	0.00	12 of 14 - Sale <sup>25</sup>
	281.000	80.05	01/09/20	88.10	8.05 W	0.00	13 of 14 - Sale <sup>25</sup>
	219.000	62.39	01/09/20	68.66	6.27 W	0.00	14 of 14 - Sale <sup>25</sup>
01/13/20	4,369.000	1,244.62	Various	1,398.39	153.77 W	0.00	Total of 14 transactions
	47 transactions for 01/17/20. Total proceeds and cost reported to the IRS.						
	1,000.000	319.88	01/09/20	337.85	...	-17.97	1 of 47 - Sale <sup>25</sup>
	178.000	56.94	01/09/20	73.70	...	-16.76	2 of 47 - Sale <sup>25</sup>
	300.000	95.97	01/09/20	107.61	...	-11.64	3 of 47 - Sale <sup>25</sup>
	122.000	39.02	01/09/20	50.51	...	-11.49	4 of 47 - Sale <sup>25</sup>
	100.000	31.99	01/09/20	41.40	...	-9.41	5 of 47 - Sale <sup>25</sup>
	100.000	31.99	01/09/20	41.39	...	-9.40	6 of 47 - Sale <sup>25</sup>
	100.000	31.99	01/09/20	41.39	...	-9.40	7 of 47 - Sale <sup>25</sup>
	78.000	24.95	01/09/20	32.29	...	-7.34	8 of 47 - Sale <sup>25</sup>
	180.000	57.58	01/09/20	64.56	...	-6.98	9 of 47 - Sale <sup>25</sup>

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Robinhood Securities LLC

Account 132582909

## Proceeds from Broker and Barter Exchange Transactions

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

(continued)

02/14/2021

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TITAN PHARMACEUTICALS, INC. CO MMON STOCK / CUSIP: 888314507 / Symbol: (cont'd)							
	74.000	23.67	01/09/20	30.64	...	-6.97	10 of 47 - Sale <sup>25</sup>
	391.000	125.07	01/09/20	130.46	...	-5.39	11 of 47 - Sale <sup>25</sup>
	122.000	39.03	01/09/20	43.77	...	-4.74	12 of 47 - Sale <sup>25</sup>
	100.000	31.99	01/09/20	35.86	...	-3.87	13 of 47 - Sale <sup>25</sup>
	91.000	29.11	01/09/20	32.63	...	-3.52	14 of 47 - Sale <sup>25</sup>
	78.000	24.95	01/09/20	27.98	...	-3.03	15 of 47 - Sale <sup>25</sup>
	78.000	24.95	01/09/20	27.98	...	-3.03	16 of 47 - Sale <sup>25</sup>
	191.000	61.10	01/09/20	63.72	...	-2.62	17 of 47 - Sale <sup>25</sup>
	26.000	8.32	01/09/20	10.75	...	-2.43	18 of 47 - Sale <sup>25</sup>
	62.000	19.83	01/09/20	22.24	...	-2.41	19 of 47 - Sale <sup>25</sup>
	22.000	7.04	01/09/20	9.11	...	-2.07	20 of 47 - Sale <sup>25</sup>
	49.000	15.67	01/09/20	17.59	...	-1.92	21 of 47 - Sale <sup>25</sup>
	109.000	34.87	01/09/20	36.37	...	-1.50	22 of 47 - Sale <sup>25</sup>
	31.000	9.92	01/09/20	11.12	...	-1.20	23 of 47 - Sale <sup>25</sup>
	9.000	2.88	01/09/20	3.23	...	-0.35	24 of 47 - Sale <sup>25</sup>
	9.000	2.88	01/09/20	3.00	...	-0.12	25 of 47 - Sale <sup>25</sup>
	2.000	0.64	01/09/20	0.60	...	0.04	26 of 47 - Sale <sup>25</sup>
	9.000	2.88	01/09/20	2.82	...	0.06	27 of 47 - Sale <sup>25</sup>
	19.000	6.08	01/09/20	5.95	...	0.13	28 of 47 - Sale <sup>25</sup>
	28.000	8.96	01/09/20	8.76	...	0.20	29 of 47 - Sale <sup>25</sup>
	50.000	15.99	01/09/20	15.65	...	0.34	30 of 47 - Sale <sup>25</sup>
	72.000	23.03	01/09/20	22.54	...	0.49	31 of 47 - Sale <sup>25</sup>
	86.000	27.51	01/09/20	26.92	...	0.59	32 of 47 - Sale <sup>25</sup>
	100.000	31.99	01/09/20	31.35	...	0.64	33 of 47 - Sale <sup>25</sup>
	100.000	31.99	01/09/20	31.31	...	0.68	34 of 47 - Sale <sup>25</sup>
	100.000	31.99	01/09/20	31.30	...	0.69	35 of 47 - Sale <sup>25</sup>
	191.000	61.10	01/09/20	59.79	...	1.31	36 of 47 - Sale <sup>25</sup>
	97.000	31.03	01/09/20	29.07	...	1.96	37 of 47 - Sale <sup>25</sup>
	289.000	92.44	01/09/20	90.47	...	1.97	38 of 47 - Sale <sup>25</sup>
	300.000	95.96	01/09/20	93.91	...	2.05	39 of 47 - Sale <sup>25</sup>
	110.000	35.18	01/09/20	32.93	...	2.25	40 of 47 - Sale <sup>25</sup>
	409.000	130.83	01/09/20	128.23	...	2.60	41 of 47 - Sale <sup>25</sup>
	392.000	125.39	01/09/20	122.72	...	2.67	42 of 47 - Sale <sup>25</sup>
	707.000	226.15	01/09/20	221.34	...	4.81	43 of 47 - Sale <sup>25</sup>

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Account 132582909

**Proceeds from Broker and Barter Exchange Transactions**

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

(continued)

02/14/2021

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TITAN PHARMACEUTICALS, INC. CO MMON STOCK / CUSIP: 888314507 / Symbol: (cont'd)							
	726.000	232.23	01/09/20	227.27	...	4.96	44 of 47 - Sale <sup>25</sup>
	1,122.000	358.91	01/09/20	351.78	...	7.13	45 of 47 - Sale <sup>25</sup>
	222.000	71.01	01/09/20	63.14	...	7.87	46 of 47 - Sale <sup>25</sup>
	1,300.000	415.85	01/09/20	407.58	...	8.27	47 of 47 - Sale <sup>25</sup>
01/17/20	10,031.000	3,208.73	Various	3,302.58	...	-93.85	Total of 47 transactions
	24 transactions for 01/17/20. Total proceeds and cost reported to the IRS.						
	191.000	61.10	01/09/20	64.53	1.80 W	-1.63	1 of 24 - Sale <sup>25</sup>
	26.000	8.32	01/09/20	11.68	3.36 W	0.00	2 of 24 - Sale <sup>25</sup>
	74.000	23.67	01/09/20	33.26	9.59 W	0.00	3 of 24 - Sale <sup>25</sup>
	200.000	63.97	01/09/20	89.88	25.91 W	0.00	4 of 24 - Sale <sup>25</sup>
	122.000	39.03	01/09/20	54.84	15.81 W	0.00	5 of 24 - Sale <sup>25</sup>
	49.000	15.67	01/09/20	19.32	3.65 W	0.00	6 of 24 - Sale <sup>25</sup>
	62.000	19.83	01/09/20	24.44	4.61 W	0.00	7 of 24 - Sale <sup>25</sup>
	100.000	31.99	01/09/20	39.41	7.42 W	0.00	8 of 24 - Sale <sup>25</sup>
	100.000	31.99	01/09/20	39.41	7.42 W	0.00	9 of 24 - Sale <sup>25</sup>
	78.000	24.95	01/09/20	30.75	5.80 W	0.00	10 of 24 - Sale <sup>25</sup>
	289.000	92.44	01/09/20	113.91	21.47 W	0.00	11 of 24 - Sale <sup>25</sup>
	300.000	95.97	01/09/20	118.26	22.29 W	0.00	12 of 24 - Sale <sup>25</sup>
	122.000	39.02	01/09/20	48.09	9.07 W	0.00	13 of 24 - Sale <sup>25</sup>
	2.000	0.64	01/09/20	0.67	0.03 W	0.00	14 of 24 - Sale <sup>25</sup>
	110.000	35.19	01/09/20	36.84	1.65 W	0.00	15 of 24 - Sale <sup>25</sup>
	388.000	124.11	01/09/20	130.01	5.90 W	0.00	16 of 24 - Sale <sup>25</sup>
	800.000	255.90	01/09/20	268.04	12.14 W	0.00	17 of 24 - Sale <sup>25</sup>
	39.000	12.48	01/09/20	13.17	0.69 W	0.00	18 of 24 - Sale <sup>25</sup>
	61.000	19.51	01/09/20	20.61	1.10 W	0.00	19 of 24 - Sale <sup>25</sup>
	100.000	31.99	01/09/20	33.88	1.89 W	0.00	20 of 24 - Sale <sup>25</sup>
	561.000	179.45	01/09/20	189.54	10.09 W	0.00	21 of 24 - Sale <sup>25</sup>
	448.000	143.30	01/09/20	151.35	8.05 W	0.00	22 of 24 - Sale <sup>25</sup>
	100.000	31.99	01/09/20	44.94	12.95 W	0.00	23 of 24 - Sale <sup>25</sup>
	278.000	88.92	01/09/20	124.96	36.04 W	0.00	24 of 24 - Sale <sup>25</sup>
01/17/20	4,600.000	1,471.43	Various	1,701.79	228.73 W	-1.63	Total of 24 transactions
	11 transactions for 02/03/20. Total proceeds and cost reported to the IRS.						
	800.000	192.06	01/22/20	280.14	...	-88.08	1 of 11 - Sale <sup>25</sup>
	561.000	134.68	01/22/20	198.02	...	-63.34	2 of 11 - Sale <sup>25</sup>

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(continued)

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TITAN PHARMACEUTICALS, INC. CO MMON STOCK / CUSIP: 888314507 / Symbol: (cont'd)							
	291.000	69.86	01/22/20	101.91	...	-32.05	3 of 11 - Sale <sup>25</sup>
	241.000	57.86	01/22/20	85.07	...	-27.21	4 of 11 - Sale <sup>25</sup>
	100.000	24.01	01/22/20	35.39	...	-11.38	5 of 11 - Sale <sup>25</sup>
	100.000	24.01	01/22/20	35.30	...	-11.29	6 of 11 - Sale <sup>25</sup>
	100.000	24.01	01/22/20	35.30	...	-11.29	7 of 11 - Sale <sup>25</sup>
	61.000	14.64	01/22/20	21.53	...	-6.89	8 of 11 - Sale <sup>25</sup>
	57.000	13.68	01/22/20	20.12	...	-6.44	9 of 11 - Sale <sup>25</sup>
	50.000	12.01	01/22/20	17.65	...	-5.64	10 of 11 - Sale <sup>25</sup>
	39.000	9.36	01/22/20	13.76	...	-4.40	11 of 11 - Sale <sup>25</sup>
02/03/20	2,400.000	576.18	Various	844.19	...	-268.01	Total of 11 transactions
	<b>Security total:</b>	<b>11,848.52</b>		<b>13,868.00</b>	<b>1,655.99 W</b>	<b>-363.49</b>	
TONIX PHARMACEUTICALS HOLDING CORP. COMMON STOCK / CUSIP: 890260706 / Symbol:							
3 transactions for 01/09/20. Total proceeds and cost reported to the IRS.							
	100.000	160.98	01/07/20	183.00	...	-22.02	1 of 3 - Sale <sup>25</sup>
	100.000	160.99	01/07/20	183.00	...	-22.01	2 of 3 - Sale <sup>25</sup>
	25.000	40.25	01/07/20	51.25	...	-11.00	3 of 3 - Sale <sup>25</sup>
01/09/20	225.000	362.22	Various	417.25	...	-55.03	Total of 3 transactions
01/09/20	100.000	160.99	01/07/20	183.00	5.50 W	-16.51	Sale <sup>25</sup>
	<b>Security total:</b>	<b>523.21</b>		<b>600.25</b>	<b>5.50 W</b>	<b>-71.54</b>	
TOUGHBUILT INDUSTRIES, INC. CO MMON STOCK / CUSIP: 89157G207 / Symbol:							
4 transactions for 04/13/20. Total proceeds and cost reported to the IRS.							
	200.000	33.98	04/08/20	27.00	...	6.98	1 of 4 - Sale <sup>25</sup>
	1,600.000	271.80	04/08/20	216.00	...	55.80	2 of 4 - Sale <sup>25</sup>
	2,160.000	366.94	04/08/20	291.60	...	75.34	3 of 4 - Sale <sup>25</sup>
	3,300.000	560.60	04/08/20	445.50	...	115.10	4 of 4 - Sale <sup>25</sup>
04/13/20	7,260.000	1,233.32	Various	980.10	...	253.22	Total of 4 transactions
TWITTER, INC. / CUSIP: 90184L102 / Symbol:							
05/01/20	100.000	2,841.07	04/30/20	2,884.50	...	-43.43	Sale <sup>25</sup>
URBAN ONE, INC. CLASS A COMMON STOCK / CUSIP: 91705J105 / Symbol:							
07/01/20	150.000	2,924.91	06/30/20	3,195.00	...	-270.09	Sale <sup>25</sup>

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Robinhood Securities LLC

Account 132582909

## 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
VERASTEM, INC. COMMON STOCK / CUSIP: 92337C104 / Symbol:							
4 transactions for 05/08/20. Total proceeds and cost reported to the IRS.							
	125.000	232.49	05/07/20	231.25	...	1.24	1 of 4 - Sale <sup>25</sup>
	50.000	92.99	05/07/20	91.44	...	1.55	2 of 4 - Sale <sup>25</sup>
	175.000	325.47	05/07/20	323.75	...	1.72	3 of 4 - Sale <sup>25</sup>
	600.000	1,115.90	05/07/20	1,110.00	...	5.90	4 of 4 - Sale <sup>25</sup>
05/08/20	950.000	1,766.85	Various	1,756.44	...	10.41	Total of 4 transactions
WORKHORSE GROUP, INC. COMMON S TOCK / CUSIP: 98138J206 / Symbol:							
4 transactions for 01/31/20. Total proceeds and cost reported to the IRS.							
	100.000	302.99	01/30/20	299.00	...	3.99	1 of 4 - Sale <sup>25</sup>
	100.000	302.99	01/30/20	299.00	...	3.99	2 of 4 - Sale <sup>25</sup>
	100.000	302.99	01/30/20	299.00	...	3.99	3 of 4 - Sale <sup>25</sup>
	100.000	302.99	01/30/20	299.00	...	3.99	4 of 4 - Sale <sup>25</sup>
01/31/20	400.000	1,211.96	Various	1,196.00	...	15.96	Total of 4 transactions
YUMA ENERGY INC NEW COMMON STO CK / CUSIP: 98872F204 / Symbol:							
01/08/20	250.000	1,069.94	01/03/20	1,062.50	...	7.44	Sale <sup>25</sup>
ZOMEDICA PHARMACEUTICALS CORP. / CUSIP: 98979F107 / Symbol:							
04/15/20	10,000.000	1,298.78	04/08/20	1,000.00	...	298.78	Sale <sup>25</sup>
31 transactions for 06/25/20. Total proceeds and cost reported to the IRS.							
	100.000	20.29	06/24/20	20.11	...	0.18	1 of 31 - Sale <sup>25</sup>
	100.000	20.29	06/24/20	20.11	...	0.18	2 of 31 - Sale <sup>25</sup>
	100.000	20.29	06/24/20	20.11	...	0.18	3 of 31 - Sale <sup>25</sup>
	175.000	35.50	06/24/20	35.26	...	0.24	4 of 31 - Sale <sup>25</sup>
	225.000	45.65	06/24/20	45.34	...	0.31	5 of 31 - Sale <sup>25</sup>
	192.000	38.95	06/24/20	38.61	...	0.34	6 of 31 - Sale <sup>25</sup>
	300.000	60.86	06/24/20	60.33	...	0.53	7 of 31 - Sale <sup>25</sup>
	300.000	60.86	06/24/20	60.33	...	0.53	8 of 31 - Sale <sup>25</sup>
	300.000	60.86	06/24/20	60.33	...	0.53	9 of 31 - Sale <sup>25</sup>
	300.000	60.86	06/24/20	60.33	...	0.53	10 of 31 - Sale <sup>25</sup>
	300.000	60.87	06/24/20	60.33	...	0.54	11 of 31 - Sale <sup>25</sup>
	308.000	62.49	06/24/20	61.94	...	0.55	12 of 31 - Sale <sup>25</sup>
	400.000	81.15	06/24/20	80.44	...	0.71	13 of 31 - Sale <sup>25</sup>

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Robinhood Securities LLC

Account 132582909

**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
ZOMEDICA PHARMACEUTICALS CORP. / CUSIP: 98979F107 / Symbol: (cont'd)							
	400.000	81.15	06/24/20	80.44	...	0.71	14 of 31 - Sale <sup>25</sup>
	400.000	81.15	06/24/20	80.44	...	0.71	15 of 31 - Sale <sup>25</sup>
	400.000	81.15	06/24/20	80.44	...	0.71	16 of 31 - Sale <sup>25</sup>
	400.000	81.15	06/24/20	80.44	...	0.71	17 of 31 - Sale <sup>25</sup>
	400.000	81.15	06/24/20	80.44	...	0.71	18 of 31 - Sale <sup>25</sup>
	400.000	81.15	06/24/20	80.44	...	0.71	19 of 31 - Sale <sup>25</sup>
	400.000	81.15	06/24/20	80.44	...	0.71	20 of 31 - Sale <sup>25</sup>
	400.000	81.15	06/24/20	80.44	...	0.71	21 of 31 - Sale <sup>25</sup>
	400.000	81.15	06/24/20	80.44	...	0.71	22 of 31 - Sale <sup>25</sup>
	400.000	81.15	06/24/20	80.44	...	0.71	23 of 31 - Sale <sup>25</sup>
	400.000	81.15	06/24/20	80.44	...	0.71	24 of 31 - Sale <sup>25</sup>
	400.000	81.15	06/24/20	80.44	...	0.71	25 of 31 - Sale <sup>25</sup>
	400.000	81.15	06/24/20	80.44	...	0.71	26 of 31 - Sale <sup>25</sup>
	400.000	81.15	06/24/20	80.44	...	0.71	27 of 31 - Sale <sup>25</sup>
	400.000	81.15	06/24/20	80.44	...	0.71	28 of 31 - Sale <sup>25</sup>
	400.000	81.15	06/24/20	80.44	...	0.71	29 of 31 - Sale <sup>25</sup>
	400.000	81.15	06/24/20	80.44	...	0.71	30 of 31 - Sale <sup>25</sup>
	500.000	101.44	06/24/20	100.55	...	0.89	31 of 31 - Sale <sup>25</sup>
06/25/20	10,400.000	2,109.91	Various	2,091.60	...	18.31	Total of 31 transactions
	<b>Security total:</b>	<b>3,408.69</b>		<b>3,091.60</b>	...	<b>317.09</b>	
ZOOM VIDEO COMMUNICATIONS, INC . CLASS A COMMON STOCK / CUSIP: 98980L101 / Symbol:							
04/08/20	3.000	346.05	04/07/20	332.51	...	13.54	Sale <sup>25</sup>
EROS STX GLOBAL CORPORATION / CUSIP: G3788M114 / Symbol:							
4 transactions for 02/03/20. Total proceeds and cost reported to the IRS.							
	200.000	464.57	01/30/20	578.00	...	-113.43	1 of 4 - Sale <sup>25</sup>
	200.000	464.57	01/30/20	578.00	...	-113.43	2 of 4 - Sale <sup>25</sup>
	100.000	232.28	01/30/20	289.00	...	-56.72	3 of 4 - Sale <sup>25</sup>
	100.000	232.28	01/30/20	289.00	...	-56.72	4 of 4 - Sale <sup>25</sup>
02/03/20	600.000	1,393.70	Various	1,734.00	...	-340.30	Total of 4 transactions

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Robinhood Securities LLC

Account 132582909

**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
LIANLUO SMART LIMITED CLASS A COMMON STOCK / CUSIP: G5478K100 / Symbol:							
<i>2 transactions for 07/06/20. Total proceeds and cost reported to the IRS.</i>							
	790.000	564.74	07/02/20	560.90	...	3.84	1 of 2 - Sale <sup>25</sup>
	1,210.000	864.98	07/02/20	859.10	...	5.88	2 of 2 - Sale <sup>25</sup>
07/06/20	2,000.000	1,429.72	Various	1,420.00	...	9.72	Total of 2 transactions
YATRA ONLINE, INC. ORDINARY SH ARES / CUSIP: G98338109 / Symbol:							
<i>5 transactions for 04/16/20. Total proceeds and cost reported to the IRS.</i>							
	2.000	2.44	04/15/20	2.35	...	0.09	1 of 5 - Sale <sup>25</sup>
	68.000	82.95	04/15/20	79.90	...	3.05	2 of 5 - Sale <sup>25</sup>
	100.000	121.99	04/15/20	117.50	...	4.49	3 of 5 - Sale <sup>25</sup>
	100.000	121.99	04/15/20	117.50	...	4.49	4 of 5 - Sale <sup>25</sup>
	100.000	121.99	04/15/20	117.50	...	4.49	5 of 5 - Sale <sup>25</sup>
04/16/20	370.000	451.36	Various	434.75	...	16.61	Total of 5 transactions
<i>3 transactions for 04/17/20. Total proceeds and cost reported to the IRS.</i>							
	30.000	35.70	04/15/20	35.25	...	0.45	1 of 3 - Sale <sup>25</sup>
	300.000	356.96	04/15/20	352.50	...	4.46	2 of 3 - Sale <sup>25</sup>
	1,300.000	1,546.80	04/15/20	1,534.00	...	12.80	3 of 3 - Sale <sup>25</sup>
04/17/20	1,630.000	1,939.46	Various	1,921.75	...	17.71	Total of 3 transactions
	<b>Security total:</b>	<b>2,390.82</b>		<b>2,356.50</b>	...	<b>34.32</b>	
WAVE LIFE SCIENCES LTD. ORDINA RY SHARES / CUSIP: Y95308105 / Symbol:							
01/06/20	100.000	773.97	01/03/20	760.00	...	13.97	Sale <sup>25</sup>
<i>3 transactions for 01/06/20. Total proceeds and cost reported to the IRS.</i>							
	50.000	386.98	01/03/20	511.54	124.56 W	0.00	1 of 3 - Sale <sup>25</sup>
	50.000	386.99	01/03/20	468.02	81.03 W	0.00	2 of 3 - Sale <sup>25</sup>
	50.000	386.98	01/03/20	401.53	14.55 W	0.00	3 of 3 - Sale <sup>25</sup>
01/06/20	150.000	1,160.95	Various	1,381.09	220.14 W	0.00	Total of 3 transactions
<i>4 transactions for 02/04/20. Total proceeds and cost reported to the IRS.</i>							
	50.000	347.07	02/03/20	479.56	...	-132.49	1 of 4 - Sale <sup>25</sup>
	50.000	347.07	02/03/20	436.03	...	-88.96	2 of 4 - Sale <sup>25</sup>
	50.000	347.08	02/03/20	369.55	...	-22.47	3 of 4 - Sale <sup>25</sup>
	50.000	347.07	02/03/20	355.00	...	-7.93	4 of 4 - Sale <sup>25</sup>
02/04/20	200.000	1,388.29	Various	1,640.14	...	-251.85	Total of 4 transactions

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Robinhood Securities LLC

Account 132582909

## 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
WAVE LIFE SCIENCES LTD. ORDINARY SHARES / CUSIP: Y95308105 / Symbol: (cont'd)							
	<b>Security total:</b>	<b>3,323.21</b>		<b>3,781.23</b>	<b>220.14 W</b>		<b>-237.88</b>
<b>Totals :</b>		<b>1,055,336.35</b>		<b>1,159,108.37</b>	<b>75,791.01 W</b>		<b>-27,981.01</b>

**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
ZYNGA INC. CLASS A COMMON STOCK / CUSIP: 98986T108 / Symbol:							
02/24/20	1.000	7.04	12/15/17	4.00	...	3.04	Sale <sup>25</sup>
<b>Totals :</b>		<b>7.04</b>		<b>4.00</b>		<b>3.04</b>	

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Robinhood Securities LLC

Account 132582909

**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.*

<b>Security description</b>	<b>CUSIP and/or symbol</b>	<b>State</b>	<b>Date</b>	<b>Amount</b>	<b>Transaction type</b>	<b>Notes</b>
INVESCO MORTGAGE CAPITAL INC.	46131B100		07/28/20	45.00	Nondividend distribution	03
				<b>45.00</b>	<b>Total Dividends &amp; distributions</b>	



Robinhood Securities LLC

Account 132582909

## 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	0.06	Interest	
		05/29/20	0.17	Interest	
		06/24/20	0.15	Interest	
		06/30/20	0.17	Interest	
		07/15/20	0.17	Interest	
		07/31/20	0.19	Interest	
			0.91	Total Interest	
			<b>0.91</b>	<b>Total Interest</b>	

Robinhood Securities LLC

Account 132582909

**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
		02/14/20	-5.00	Margin interest paid	
		02/14/20	-8.53	Margin interest paid	
		03/16/20	-0.75	Margin interest paid	
		05/14/20	-18.94	Margin interest paid	
		05/28/20	1.47	Adj- Margin interest paid	
		06/04/20	-5.60	Margin interest paid	
		06/15/20	-5.00	Margin interest paid	
		07/14/20	0.01	Adj- Margin interest paid	
		07/15/20	-0.46	Margin interest paid	
		07/15/20	-5.00	Margin interest paid	
		08/14/20	-5.55	Margin interest paid	
			-53.35	Total Margin interest paid	
			<b>-53.35</b>	<b>Total Margin interest paid</b>	

- 03 The tax character of the distribution has been allocated based on information provided by the security issuer.
  
  - 25 Tax lot closed on a first in first out basis.
-

**Common Instructions for Recipient**

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

**Instructions for Recipient**

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

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

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

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

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

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

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

**1099-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](http://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](http://www.irs.gov/Form1099B).

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