

Robinhood Securities LLC 500 Colonial Center Parkway Suite 100 Lake Mary, FL 32746 Customer Service: 650-940-2700 PAYER'S TIN: 38-4019216	Tax Information Account 960952398	Statement Date: 02/14/2021 Document ID: 706Z 271 YANH	2020
	Harshita Kudaravalli 3229 Riverside Station Blvd Secaucus, NJ 07094 RECIPIENT'S TIN: XXX-XX-9928		

Summary Information

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

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

Term	Form 8949 type	Proceeds	Cost basis	Market discount	Wash sale loss disallowed	Net gain or loss(-)
Short	A (basis reported to the IRS)	589,200.71	598,781.88	0.00	8,488.91	-1,092.26
Short	B (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Short	C (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
	Total Short-term	589,200.71	598,781.88	0.00	8,488.91	-1,092.26
Long	D (basis reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Long	E (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Long	F (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
	Total Long-term	0.00	0.00	0.00	0.00	0.00
Undetermined	B or E (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Undetermined	C or F (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
	Total Undetermined-term	0.00	0.00	0.00	0.00	0.00
	Grand total	589,200.71	598,781.88	0.00	8,488.91	-1,092.26

Withholding	Amount
Federal income tax withheld	0.00

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

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Summary Information

2020

(continued)

02/14/2021

INTEREST INCOME

2020 1099-INT

OMB No. 1545-0112

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

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

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

STATE TAX WITHHELD

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

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

ORIGINAL ISSUE DISCOUNT AND ADJUSTMENTS

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

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

RECONCILIATIONS, FEES, EXPENSES AND EXPENDITURES

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

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

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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
AAPL 09/25/2020 CALL \$700.00 / CUSIP: / Symbol:							
08/10/20	50.000	3,399.82	08/07/20	8,850.00	...	-5,450.18	Option sale to close-call ²⁵
AAPL 10/02/2020 CALL \$128.75 / CUSIP: / Symbol:							
09/01/20	4.000	3,779.90	08/31/20	3,280.00	...	499.90	Option sale to close-call ²⁵
CLDR 09/18/2020 CALL \$15.00 / CUSIP: / Symbol:							
3 transactions for 09/11/20. Total proceeds and cost reported to the IRS.							
	7.000	6.97	09/02/20	910.00	...	-903.03	1 of 3 - Option sale to close-call ²⁵
	1.000	1.00	09/02/20	259.02	...	-258.02	2 of 3 - Option sale to close-call ²⁵
	1.000	1.00	09/02/20	130.00	...	-129.00	3 of 3 - Option sale to close-call ²⁵
09/11/20	9.000	8.97	Various	1,299.02	...	-1,290.05	Total of 3 transactions
09/11/20	1.000	0.98	09/02/20	130.00	129.02 W	0.00	Option sale to close-call ²⁵
Security total:		9.95		1,429.02	129.02 W	-1,290.05	

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Account 960952398

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
GEO 11/20/2020 CALL \$11.00 / CUSIP: / Symbol:							
08/06/20	20.000	2,099.91	08/05/20	3,300.00	...	-1,200.09	Option sale to close-call ²⁵
GNUS 07/10/2020 CALL \$2.50 / CUSIP: / Symbol:							
07/02/20	10.000	999.95	07/02/20	750.00	...	249.95	Option sale to close-call ²⁵
MDB 10/02/2020 CALL \$250.00 / CUSIP: / Symbol:							
09/02/20	1.000	2,299.93	09/01/20	2,300.00	...	-0.07	Option sale to close-call ²⁵
MDB 10/02/2020 CALL \$255.00 / CUSIP: / Symbol:							
10/02/20	1.000	0.00	09/02/20	1,770.00	...	-1,770.00	Option expiration- long call
NKLA 08/21/2020 CALL \$36.50 / CUSIP: / Symbol:							
2 transactions for 08/04/20. Total proceeds and cost reported to the IRS.							
	1.000	539.97	08/03/20	470.00	...	69.97	1 of 2 - Option sale to close-call ²⁵
	9.000	4,859.87	08/03/20	4,230.00	...	629.87	2 of 2 - Option sale to close-call ²⁵
08/04/20	10.000	5,399.84	Various	4,700.00	...	699.84	Total of 2 transactions
SPCE 08/14/2020 CALL \$23.00 / CUSIP: / Symbol:							
5 transactions for 08/03/20. Total proceeds and cost reported to the IRS.							
	1.000	262.98	08/03/20	211.00	...	51.98	1 of 5 - Option sale to close-call ²⁵
	1.000	262.98	08/03/20	211.00	...	51.98	2 of 5 - Option sale to close-call ²⁵
	1.000	262.98	08/03/20	211.00	...	51.98	3 of 5 - Option sale to close-call ²⁵
	2.000	525.97	08/03/20	422.00	...	103.97	4 of 5 - Option sale to close-call ²⁵
	20.000	5,259.84	08/03/20	4,220.00	...	1,039.84	5 of 5 - Option sale to close-call ²⁵
08/03/20	25.000	6,574.75	Various	5,275.00	...	1,299.75	Total of 5 transactions
SPCE 08/14/2020 CALL \$23.50 / CUSIP: / Symbol:							
2 transactions for 08/04/20. Total proceeds and cost reported to the IRS.							
	25.000	2,674.89	08/03/20	4,250.00	...	-1,575.11	1 of 2 - Option sale to close-call ²⁵
	5.000	534.97	08/03/20	850.00	...	-315.03	2 of 2 - Option sale to close-call ²⁵
08/04/20	30.000	3,209.86	Various	5,100.00	...	-1,890.14	Total of 2 transactions
TGT 08/21/2020 CALL \$138.00 / CUSIP: / Symbol:							
08/18/20	4.000	1,399.95	08/17/20	1,580.00	...	-180.05	Option sale to close-call ²⁵

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Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

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02/14/2021

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

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

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

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
ACHIEVE LIFE SCIENCES, INC. CO MMON SHARES / CUSIP: 004468203 / Symbol:							
<i>16 transactions for 07/29/20. Total proceeds and cost reported to the IRS.</i>							
	100.000	76.99	07/28/20	58.00	...	18.99	1 of 16 - Sale ²⁵
	100.000	77.02	07/28/20	58.00	...	19.02	2 of 16 - Sale ²⁵
	100.000	77.04	07/28/20	58.00	...	19.04	3 of 16 - Sale ²⁵
	200.000	140.15	07/28/20	116.00	...	24.15	4 of 16 - Sale ²⁵
	195.000	155.01	07/28/20	113.10	...	41.91	5 of 16 - Sale ²⁵
	233.000	179.38	07/28/20	133.98	...	45.40	6 of 16 - Sale ²⁵
	267.000	205.56	07/28/20	154.86	...	50.70	7 of 16 - Sale ²⁵
	333.000	256.36	07/28/20	193.14	...	63.22	8 of 16 - Sale ²⁵
	667.000	513.50	07/28/20	383.52	...	129.98	9 of 16 - Sale ²⁵
	767.000	590.48	07/28/20	444.86	...	145.62	10 of 16 - Sale ²⁵
	1,833.000	1,411.15	07/28/20	1,063.14	...	348.01	11 of 16 - Sale ²⁵
	2,400.000	1,848.38	07/28/20	1,392.00	...	456.38	12 of 16 - Sale ²⁵
	2,500.000	1,924.65	07/28/20	1,450.00	...	474.65	13 of 16 - Sale ²⁵
	2,605.000	2,070.61	07/28/20	1,510.90	...	559.71	14 of 16 - Sale ²⁵
	3,000.000	2,309.58	07/28/20	1,740.00	...	569.58	15 of 16 - Sale ²⁵
	4,700.000	3,620.70	07/28/20	2,726.00	...	894.70	16 of 16 - Sale ²⁵
07/29/20	20,000.000	15,456.56	Various	11,595.50	...	3,861.06	Total of 16 transactions
AGEAGLE AERIAL SYSTEMS, INC. / CUSIP: 00848K101 / Symbol:							
<i>8 transactions for 06/11/20. Total proceeds and cost reported to the IRS.</i>							
	2,286.000	3,154.34	06/09/20	4,000.50	...	-846.16	1 of 8 - Sale ²⁵
	700.000	965.89	06/09/20	1,225.00	...	-259.11	2 of 8 - Sale ²⁵
	500.000	689.92	06/09/20	875.00	...	-185.08	3 of 8 - Sale ²⁵
	450.000	620.93	06/09/20	787.50	...	-166.57	4 of 8 - Sale ²⁵
	200.000	275.98	06/09/20	350.00	...	-74.02	5 of 8 - Sale ²⁵
	100.000	137.99	06/09/20	175.00	...	-37.01	6 of 8 - Sale ²⁵
	10.000	13.80	06/09/20	17.50	...	-3.70	7 of 8 - Sale ²⁵
	4.000	5.52	06/09/20	7.00	...	-1.48	8 of 8 - Sale ²⁵
06/11/20	4,250.000	5,864.37	Various	7,437.50	...	-1,573.13	Total of 8 transactions

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Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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

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

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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
AIM IMMUNOTECH INC. / CUSIP: 00901B105 / Symbol:							
2 transactions for 06/25/20. Total proceeds and cost reported to the IRS.							
	520.000	1,325.91	06/01/20	1,456.00	...	-130.09	1 of 2 - Sale ²⁵
	200.000	509.96	06/01/20	560.00	...	-50.04	2 of 2 - Sale ²⁵
06/25/20	720.000	1,835.87	Various	2,016.00	...	-180.13	Total of 2 transactions
ALTIMMUNE, INC. COMMON STOCK / CUSIP: 02155H200 / Symbol:							
2 transactions for 07/15/20. Total proceeds and cost reported to the IRS.							
	70.000	2,055.84	07/14/20	2,016.00	...	39.84	1 of 2 - Sale ²⁵
	200.000	5,875.85	07/14/20	5,760.00	...	115.85	2 of 2 - Sale ²⁵
07/15/20	270.000	7,931.69	Various	7,776.00	...	155.69	Total of 2 transactions
AMERICAN AIRLINES GROUP INC. COMMON STOCK / CUSIP: 02376R102 / Symbol:							
04/09/20	96.000	1,251.93	04/03/20	947.51	...	304.42	Sale ²⁵
ANIXA BIOSCIENCES, INC. COMMON STOCK / CUSIP: 03528H109 / Symbol:							
06/16/20	850.000	1,972.02	06/01/20	1,997.50	...	-25.48	Sale ²⁵
BIOCRYST PHARMACEUTICALS, INC. COMMON STOCK / CUSIP: 09058V103 / Symbol:							
3 transactions for 07/02/20. Total proceeds and cost reported to the IRS.							
	376.000	1,861.11	07/01/20	1,831.12	...	29.99	1 of 3 - Sale ²⁵
	488.000	2,415.49	07/01/20	2,376.56	...	38.93	2 of 3 - Sale ²⁵
	636.000	3,148.05	07/01/20	3,097.32	...	50.73	3 of 3 - Sale ²⁵
07/02/20	1,500.000	7,424.65	Various	7,305.00	...	119.65	Total of 3 transactions
BIOCEPT, INC. COMMON STOCK / CUSIP: 09072V402 / Symbol:							
13 transactions for 08/03/20. Total proceeds and cost reported to the IRS.							
	20.000	15.40	07/31/20	15.00	...	0.40	1 of 13 - Sale ²⁵
	23.000	17.71	07/31/20	17.25	...	0.46	2 of 13 - Sale ²⁵
	25.000	19.25	07/31/20	18.75	...	0.50	3 of 13 - Sale ²⁵
	26.000	20.02	07/31/20	19.50	...	0.52	4 of 13 - Sale ²⁵
	36.000	27.72	07/31/20	27.00	...	0.72	5 of 13 - Sale ²⁵
	50.000	38.50	07/31/20	37.50	...	1.00	6 of 13 - Sale ²⁵
	100.000	76.99	07/31/20	75.00	...	1.99	7 of 13 - Sale ²⁵
	130.000	100.08	07/31/20	97.50	...	2.58	8 of 13 - Sale ²⁵

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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)

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1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	7- Loss not allowed (X) also not reported (Z)	Gain or loss(-) & Additional information
BIOCEPT, INC. COMMON STOCK / CUSIP: 09072V402 / Symbol: (cont'd)							
	176.000	135.50	07/31/20	132.00	...	3.50	9 of 13 - Sale ²⁵
	657.000	505.79	07/31/20	492.75	...	13.04	10 of 13 - Sale ²⁵
	1,000.000	769.86	07/31/20	750.00	...	19.86	11 of 13 - Sale ²⁵
	1,100.000	846.85	07/31/20	825.00	...	21.85	12 of 13 - Sale ²⁵
	1,657.000	1,275.66	07/31/20	1,242.75	...	32.91	13 of 13 - Sale ²⁵
08/03/20	5,000.000	3,849.33	Various	3,750.00	...	99.33	Total of 13 transactions
BIONANO GENOMICS, INC. COMMON STOCK / CUSIP: 09075F107 / Symbol:							
04/23/20	3,000.000	1,048.71	04/22/20	1,080.00	...	-31.29	Sale ²⁵
	8 transactions for 06/02/20. Total proceeds and cost reported to the IRS.						
	290.000	139.16	05/27/20	139.24	...	-0.08	1 of 8 - Sale ²⁵
	331.000	158.84	05/27/20	158.92	...	-0.08	2 of 8 - Sale ²⁵
	250.000	119.96	05/27/20	120.03	...	-0.07	3 of 8 - Sale ²⁵
	472.000	226.49	05/27/20	226.56	...	-0.07	4 of 8 - Sale ²⁵
	210.000	100.77	05/27/20	100.83	...	-0.06	5 of 8 - Sale ²⁵
	238.000	114.21	05/27/20	114.27	...	-0.06	6 of 8 - Sale ²⁵
	164.000	78.70	05/27/20	78.74	...	-0.04	7 of 8 - Sale ²⁵
	100.000	47.99	05/27/20	48.01	...	-0.02	8 of 8 - Sale ²⁵
06/02/20	2,055.000	986.12	Various	986.60	...	-0.48	Total of 8 transactions
	6 transactions for 06/02/20. Total proceeds and cost reported to the IRS.						
	600.000	287.92	05/27/20	288.00	0.03 W	-0.05	1 of 6 - Sale ²⁵
	164.000	78.70	05/27/20	78.72	0.02 W	0.00	2 of 6 - Sale ²⁵
	331.000	158.84	05/27/20	158.88	0.04 W	0.00	3 of 6 - Sale ²⁵
	500.000	239.93	05/27/20	240.00	0.07 W	0.00	4 of 6 - Sale ²⁵
	100.000	47.99	05/27/20	48.00	0.01 W	0.00	5 of 6 - Sale ²⁵
	250.000	119.97	05/27/20	120.00	0.03 W	0.00	6 of 6 - Sale ²⁵
06/02/20	1,945.000	933.35	Various	933.60	0.20 W	-0.05	Total of 6 transactions
	2 transactions for 07/22/20. Total proceeds and cost reported to the IRS.						
	13,054.000	12,138.40	07/22/20	12,401.30	...	-262.90	1 of 2 - Sale ²⁵
	2,946.000	2,739.36	07/22/20	2,798.70	...	-59.34	2 of 2 - Sale ²⁵
07/22/20	16,000.000	14,877.76	Various	15,200.00	...	-322.24	Total of 2 transactions
	Security total:	17,845.94		18,200.20	0.20 W	-354.06	

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Robinhood Securities LLC

Account 960952398

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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BROADWAY FINANCIAL CORPORATION COMMON STOCK / CUSIP: 111444105 / Symbol:							
06/22/20	840.000	2,897.83	06/22/20	3,360.00	462.17 W	0.00	Sale ²⁵
	3 transactions for 06/25/20. Total proceeds and cost reported to the IRS.						
	835.000	1,926.95	06/24/20	2,705.57	...	-778.62	1 of 3 - Sale ²⁵
	220.000	507.69	06/24/20	591.80	...	-84.11	2 of 3 - Sale ²⁵
	5.000	11.54	06/24/20	16.20	...	-4.66	3 of 3 - Sale ²⁵
06/25/20	1,060.000	2,446.18	Various	3,313.57	...	-867.39	Total of 3 transactions
	Security total:	5,344.01		6,673.57	462.17 W	-867.39	
CAPRICOR THERAPEUTICS, INC. CO MMON STOCK / CUSIP: 14070B309 / Symbol:							
	2 transactions for 07/27/20. Total proceeds and cost reported to the IRS.						
	90.000	719.97	07/27/20	720.00	...	-0.03	1 of 2 - Sale ²⁵
	20.000	160.20	07/27/20	160.00	...	0.20	2 of 2 - Sale ²⁵
07/27/20	110.000	880.17	Various	880.00	...	0.17	Total of 2 transactions
07/27/20	1,690.000	13,519.50	07/27/20	13,520.00	0.39 W	-0.11	Sale ²⁵
	3 transactions for 08/07/20. Total proceeds and cost reported to the IRS.						
	796.000	5,571.78	08/06/20	5,572.24	...	-0.46	1 of 3 - Sale ²⁵
	471.000	3,296.87	08/06/20	3,297.14	...	-0.27	2 of 3 - Sale ²⁵
	33.000	230.99	08/06/20	231.01	...	-0.02	3 of 3 - Sale ²⁵
08/07/20	1,300.000	9,099.64	Various	9,100.39	...	-0.75	Total of 3 transactions
	Security total:	23,499.31		23,500.39	0.39 W	-0.69	
CELLECT BIOTECHNOLOGY LTD. AME RICAN DEPOSITARY SHARES / CUSIP: 15116C201 / Symbol:							
08/06/20	2.000	6.74	07/27/20	6.40	...	0.34	Sale ²⁵
CEMTREX INC. COMMON STOCK / CUSIP: 15130G600 / Symbol:							
	2 transactions for 06/04/20. Total proceeds and cost reported to the IRS.						
	700.000	1,336.89	06/01/20	1,750.00	...	-413.11	1 of 2 - Sale ²⁵
	100.000	190.99	06/01/20	250.00	...	-59.01	2 of 2 - Sale ²⁵
06/04/20	800.000	1,527.88	Various	2,000.00	...	-472.12	Total of 2 transactions
	9 transactions for 07/10/20. Total proceeds and cost reported to the IRS.						
	90.000	179.99	07/09/20	130.50	...	49.49	1 of 9 - Sale ²⁵
	228.000	455.96	07/09/20	330.60	...	125.36	2 of 9 - Sale ²⁵
	240.000	479.97	07/10/20	405.60	...	74.37	3 of 9 - Sale ²⁵

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2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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CEMTREX INC. COMMON STOCK / CUSIP: 15130G600 / Symbol: (cont'd)							
	350.000	699.94	07/10/20	591.50	...	108.44	4 of 9 - Sale ²⁵
	759.000	1,517.88	07/10/20	1,282.71	...	235.17	5 of 9 - Sale ²⁵
	880.000	1,759.86	07/10/20	1,487.20	...	272.66	6 of 9 - Sale ²⁵
	1,511.000	3,021.75	07/10/20	2,553.59	...	468.16	7 of 9 - Sale ²⁵
	2,180.000	4,359.64	07/10/20	3,684.20	...	675.44	8 of 9 - Sale ²⁵
	2,580.000	5,159.58	07/10/20	4,360.20	...	799.38	9 of 9 - Sale ²⁵
07/10/20	8,818.000	17,634.57	Various	14,826.10	...	2,808.47	Total of 9 transactions
	30 transactions for 07/13/20. Total proceeds and cost reported to the IRS.						
	1,166.000	1,923.71	07/10/20	2,505.91	...	-582.20	1 of 30 - Sale ²⁵
	420.000	688.73	07/10/20	903.07	...	-214.34	2 of 30 - Sale ²⁵
	250.000	412.46	07/10/20	537.29	...	-124.83	3 of 30 - Sale ²⁵
	207.000	341.51	07/10/20	444.88	...	-103.37	4 of 30 - Sale ²⁵
	200.000	329.98	07/10/20	429.83	...	-99.85	5 of 30 - Sale ²⁵
	200.000	329.98	07/10/20	429.83	...	-99.85	6 of 30 - Sale ²⁵
	147.000	242.53	07/10/20	315.93	...	-73.40	7 of 30 - Sale ²⁵
	140.000	230.98	07/10/20	300.88	...	-69.90	8 of 30 - Sale ²⁵
	131.000	216.13	07/10/20	281.54	...	-65.41	9 of 30 - Sale ²⁵
	113.000	185.30	07/10/20	242.85	...	-57.55	10 of 30 - Sale ²⁵
	113.000	186.44	07/10/20	242.86	...	-56.42	11 of 30 - Sale ²⁵
	100.000	163.98	07/10/20	215.01	...	-51.03	12 of 30 - Sale ²⁵
	100.000	163.98	07/10/20	215.01	...	-51.03	13 of 30 - Sale ²⁵
	100.000	163.98	07/10/20	215.01	...	-51.03	14 of 30 - Sale ²⁵
	100.000	163.99	07/10/20	215.01	...	-51.02	15 of 30 - Sale ²⁵
	100.000	163.99	07/10/20	215.01	...	-51.02	16 of 30 - Sale ²⁵
	200.000	329.98	07/10/20	380.00	...	-50.02	17 of 30 - Sale ²⁵
	92.000	150.87	07/10/20	197.81	...	-46.94	18 of 30 - Sale ²⁵
	87.000	143.54	07/10/20	186.97	...	-43.43	19 of 30 - Sale ²⁵
	160.000	263.98	07/10/20	304.00	...	-40.02	20 of 30 - Sale ²⁵
	75.000	123.74	07/10/20	161.19	...	-37.45	21 of 30 - Sale ²⁵
	50.000	81.99	07/10/20	107.51	...	-25.52	22 of 30 - Sale ²⁵
	86.000	141.89	07/10/20	163.40	...	-21.51	23 of 30 - Sale ²⁵
	74.000	122.09	07/10/20	140.60	...	-18.51	24 of 30 - Sale ²⁵
	35.000	57.75	07/10/20	75.22	...	-17.47	25 of 30 - Sale ²⁵
	30.000	49.20	07/10/20	64.50	...	-15.30	26 of 30 - Sale ²⁵

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CEMTREX INC. COMMON STOCK / CUSIP: 15130G600 / Symbol: (cont'd)							
	26.000	42.90	07/10/20	55.88	...	-12.98	27 of 30 - Sale ²⁵
	30.000	49.50	07/10/20	57.00	...	-7.50	28 of 30 - Sale ²⁵
	10.000	16.50	07/10/20	21.49	...	-4.99	29 of 30 - Sale ²⁵
	8.000	13.12	07/10/20	17.20	...	-4.08	30 of 30 - Sale ²⁵
07/13/20	4,550.000	7,494.72	Various	9,642.69	...	-2,147.97	Total of 30 transactions
	11 transactions for 07/13/20. Total proceeds and cost reported to the IRS.						
	500.000	824.92	07/10/20	950.00	12.51 W	-112.57	1 of 11 - Sale ²⁵
	2,300.000	3,796.94	07/10/20	4,370.00	573.06 W	0.00	2 of 11 - Sale ²⁵
	400.000	660.33	07/10/20	760.00	99.67 W	0.00	3 of 11 - Sale ²⁵
	200.000	330.18	07/10/20	380.00	49.82 W	0.00	4 of 11 - Sale ²⁵
	100.000	164.99	07/10/20	190.00	25.01 W	0.00	5 of 11 - Sale ²⁵
	100.000	164.99	07/10/20	190.00	25.01 W	0.00	6 of 11 - Sale ²⁵
	200.000	329.98	07/10/20	380.00	50.02 W	0.00	7 of 11 - Sale ²⁵
	100.000	164.99	07/10/20	190.00	25.01 W	0.00	8 of 11 - Sale ²⁵
	100.000	164.99	07/10/20	190.00	25.01 W	0.00	9 of 11 - Sale ²⁵
	30.000	49.50	07/10/20	57.00	7.50 W	0.00	10 of 11 - Sale ²⁵
	420.000	692.93	07/10/20	798.00	105.07 W	0.00	11 of 11 - Sale ²⁵
07/13/20	4,450.000	7,344.74	Various	8,455.00	997.69 W	-112.57	Total of 11 transactions
	Security total:	34,001.91		34,923.79	997.69 W	75.81	
CHEMBIO DIAGNOSTICS, INC. COMM ON STOCK / CUSIP: 163572209 / Symbol:							
	7 transactions for 07/15/20. Total proceeds and cost reported to the IRS.						
	16.000	83.20	07/14/20	77.60	...	5.60	1 of 7 - Sale ²⁵
	50.000	259.99	07/14/20	242.50	...	17.49	2 of 7 - Sale ²⁵
	334.000	1,736.72	07/14/20	1,619.90	...	116.82	3 of 7 - Sale ²⁵
	1,050.000	5,449.25	07/14/20	5,092.50	...	356.75	4 of 7 - Sale ²⁵
	500.000	2,479.99	07/15/20	2,720.07	...	-240.08	5 of 7 - Sale ²⁵
	85.000	421.59	07/15/20	462.41	...	-40.82	6 of 7 - Sale ²⁵
	29.000	143.84	07/15/20	150.80	...	-6.96	7 of 7 - Sale ²⁵
07/15/20	2,064.000	10,574.58	Various	10,365.78	...	208.80	Total of 7 transactions
	2 transactions for 07/15/20. Total proceeds and cost reported to the IRS.						
	1,701.000	8,436.90	07/15/20	8,845.20	240.03 W	-168.27	1 of 2 - Sale ²⁵
	585.000	2,901.52	07/15/20	3,042.00	140.48 W	0.00	2 of 2 - Sale ²⁵
07/15/20	2,286.000	11,338.42	Various	11,887.20	380.51 W	-168.27	Total of 2 transactions

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CHEMBIO DIAGNOSTICS, INC. COMM ON STOCK / CUSIP: 163572209 / Symbol: (cont'd)							
4 transactions for 07/28/20. Total proceeds and cost reported to the IRS.							
	300.000	1,572.23	07/27/20	1,647.01	...	-74.78	1 of 4 - Sale ²⁵
	300.000	1,572.23	07/27/20	1,647.01	...	-74.78	2 of 4 - Sale ²⁵
	300.000	1,572.23	07/27/20	1,647.01	...	-74.78	3 of 4 - Sale ²⁵
	100.000	524.07	07/27/20	549.00	...	-24.93	4 of 4 - Sale ²⁵
07/28/20	1,000.000	5,240.76	Various	5,490.03	...	-249.27	Total of 4 transactions
	Security total:	27,153.76		27,743.01	380.51 W	-208.74	
CLEANSPARK, INC. COMMON STOCK / CUSIP: 18452B209 / Symbol:							
14 transactions for 07/10/20. Total proceeds and cost reported to the IRS.							
	672.000	2,398.91	07/10/20	2,587.33	...	-188.42	1 of 14 - Sale ²⁵
	500.000	1,789.90	07/10/20	1,925.10	...	-135.20	2 of 14 - Sale ²⁵
	500.000	1,789.90	07/10/20	1,925.10	...	-135.20	3 of 14 - Sale ²⁵
	431.000	1,542.89	07/10/20	1,659.44	...	-116.55	4 of 14 - Sale ²⁵
	431.000	1,542.89	07/10/20	1,659.44	...	-116.55	5 of 14 - Sale ²⁵
	369.000	1,320.94	07/10/20	1,420.72	...	-99.78	6 of 14 - Sale ²⁵
	272.000	970.99	07/10/20	1,047.25	...	-76.26	7 of 14 - Sale ²⁵
	100.000	356.98	07/10/20	412.05	...	-55.07	8 of 14 - Sale ²⁵
	172.000	615.73	07/10/20	662.23	...	-46.50	9 of 14 - Sale ²⁵
	100.000	357.98	07/10/20	385.02	...	-27.04	10 of 14 - Sale ²⁵
	100.000	357.99	07/10/20	385.02	...	-27.03	11 of 14 - Sale ²⁵
	69.000	247.01	07/10/20	265.66	...	-18.65	12 of 14 - Sale ²⁵
	28.000	99.95	07/10/20	115.38	...	-15.43	13 of 14 - Sale ²⁵
	28.000	99.95	07/10/20	107.81	...	-7.86	14 of 14 - Sale ²⁵
07/10/20	3,772.000	13,492.01	Various	14,557.55	...	-1,065.54	Total of 14 transactions
9 transactions for 07/10/20. Total proceeds and cost reported to the IRS.							
	100.000	351.99	07/09/20	359.00	7.01 W	0.00	1 of 9 - Sale ²⁵
	228.000	802.51	07/09/20	818.52	16.01 W	0.00	2 of 9 - Sale ²⁵
	100.000	351.98	07/09/20	366.01	14.03 W	0.00	3 of 9 - Sale ²⁵
	172.000	605.41	07/09/20	617.48	12.07 W	0.00	4 of 9 - Sale ²⁵
	228.000	802.51	07/09/20	834.53	32.02 W	0.00	5 of 9 - Sale ²⁵
	2,772.000	9,756.89	07/09/20	9,951.48	194.59 W	0.00	6 of 9 - Sale ²⁵
	700.000	2,463.86	07/09/20	2,513.00	49.14 W	0.00	7 of 9 - Sale ²⁵
	228.000	816.19	07/10/20	893.86	9.54 W	-68.13	8 of 9 - Sale ²⁵

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CLEANSPARK, INC. COMMON STOCK / CUSIP: 18452B209 / Symbol: (cont'd)							
	100.000	357.98	07/10/20	392.03	34.05 W	0.00	9 of 9 - Sale ²⁵
07/10/20	4,628.000	16,309.32	Various	16,745.91	368.46 W	-68.13	Total of 9 transactions
	Security total:	29,801.33		31,303.46	368.46 W	-1,133.67	
DELTA AIR LINES, INC. / CUSIP: 247361702 / Symbol:							
2 transactions for 06/01/20. Total proceeds and cost reported to the IRS.							
	50.000	1,327.08	04/29/20	1,417.00	...	-89.92	1 of 2 - Sale ²⁵
	26.000	690.07	04/29/20	737.10	...	-47.03	2 of 2 - Sale ²⁵
06/01/20	76.000	2,017.15	Various	2,154.10	...	-136.95	Total of 2 transactions
EMAGIN CORPORATION / CUSIP: 29076N206 / Symbol:							
16 transactions for 06/09/20. Total proceeds and cost reported to the IRS.							
	100.000	74.51	06/04/20	73.37	...	1.14	1 of 16 - Sale ²⁵
	100.000	74.51	06/04/20	73.20	...	1.31	2 of 16 - Sale ²⁵
	76.000	56.91	06/04/20	55.58	...	1.33	3 of 16 - Sale ²⁵
	100.000	74.89	06/04/20	73.13	...	1.76	4 of 16 - Sale ²⁵
	100.000	74.89	06/04/20	73.13	...	1.76	5 of 16 - Sale ²⁵
	100.000	74.89	06/04/20	73.13	...	1.76	6 of 16 - Sale ²⁵
	200.000	149.01	06/04/20	146.74	...	2.27	7 of 16 - Sale ²⁵
	200.000	149.01	06/04/20	146.72	...	2.29	8 of 16 - Sale ²⁵
	300.000	223.52	06/04/20	220.11	...	3.41	9 of 16 - Sale ²⁵
	200.000	149.78	06/04/20	146.26	...	3.52	10 of 16 - Sale ²⁵
	400.000	298.03	06/04/20	292.80	...	5.23	11 of 16 - Sale ²⁵
	600.000	447.04	06/04/20	439.20	...	7.84	12 of 16 - Sale ²⁵
	848.000	631.81	06/04/20	620.14	...	11.67	13 of 16 - Sale ²⁵
	800.000	599.08	06/04/20	585.04	...	14.04	14 of 16 - Sale ²⁵
	2,300.000	1,713.64	06/04/20	1,683.60	...	30.04	15 of 16 - Sale ²⁵
	3,576.000	2,664.34	06/04/20	2,623.71	...	40.63	16 of 16 - Sale ²⁵
06/09/20	10,000.000	7,455.86	Various	7,325.86	...	130.00	Total of 16 transactions
06/12/20	5,000.000	5,750.27	06/12/20	5,750.00	...	0.27	Sale ²⁵
23 transactions for 07/27/20. Total proceeds and cost reported to the IRS.							
	400.000	483.95	07/24/20	492.06	...	-8.11	1 of 23 - Sale ²⁵
	770.000	931.58	07/24/20	939.40	...	-7.82	2 of 23 - Sale ²⁵
	600.000	725.91	07/24/20	732.00	...	-6.09	3 of 23 - Sale ²⁵

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Robinhood Securities LLC

Account 960952398

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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EMAGIN CORPORATION / CUSIP: 29076N206 / Symbol: (cont'd)							
	250.000	302.46	07/24/20	307.54	...	-5.08	4 of 23 - Sale ²⁵
	246.000	297.62	07/24/20	302.62	...	-5.00	5 of 23 - Sale ²⁵
	230.000	278.27	07/24/20	282.93	...	-4.66	6 of 23 - Sale ²⁵
	175.000	211.72	07/24/20	215.27	...	-3.55	7 of 23 - Sale ²⁵
	100.000	120.99	07/24/20	123.02	...	-2.03	8 of 23 - Sale ²⁵
	100.000	120.99	07/24/20	123.01	...	-2.02	9 of 23 - Sale ²⁵
	82.000	99.21	07/24/20	100.87	...	-1.66	10 of 23 - Sale ²⁵
	54.000	65.33	07/24/20	66.43	...	-1.10	11 of 23 - Sale ²⁵
	50.000	60.49	07/24/20	61.50	...	-1.01	12 of 23 - Sale ²⁵
	50.000	60.49	07/24/20	61.50	...	-1.01	13 of 23 - Sale ²⁵
	30.000	36.30	07/24/20	36.90	...	-0.60	14 of 23 - Sale ²⁵
	15.000	18.15	07/24/20	18.30	...	-0.15	15 of 23 - Sale ²⁵
	5.000	6.05	07/24/20	6.15	...	-0.10	16 of 23 - Sale ²⁵
	5.000	6.05	07/24/20	6.15	...	-0.10	17 of 23 - Sale ²⁵
	4.000	4.84	07/24/20	4.92	...	-0.08	18 of 23 - Sale ²⁵
	2.000	2.42	07/24/20	2.46	...	-0.04	19 of 23 - Sale ²⁵
	1.000	1.21	07/24/20	1.23	...	-0.02	20 of 23 - Sale ²⁵
	1.000	1.21	07/24/20	1.22	...	-0.01	21 of 23 - Sale ²⁵
	511.000	643.78	07/24/20	623.42	...	20.36	22 of 23 - Sale ²⁵
	6,205.000	7,817.38	07/24/20	7,570.10	...	247.28	23 of 23 - Sale ²⁵
07/27/20	9,886.000	12,296.40	Various	12,079.00	...	217.40	Total of 23 transactions
	10 transactions for 07/27/20. Total proceeds and cost reported to the IRS.						
	1.000	1.21	07/24/20	1.22	0.01 W	0.00	1 of 10 - Sale ²⁵
	5.000	6.05	07/24/20	6.10	0.05 W	0.00	2 of 10 - Sale ²⁵
	82.000	99.21	07/24/20	100.04	0.83 W	0.00	3 of 10 - Sale ²⁵
	175.000	211.73	07/24/20	213.50	1.77 W	0.00	4 of 10 - Sale ²⁵
	5.000	6.05	07/24/20	6.10	0.05 W	0.00	5 of 10 - Sale ²⁵
	900.000	1,088.86	07/24/20	1,098.00	9.14 W	0.00	6 of 10 - Sale ²⁵
	50.000	60.50	07/24/20	61.00	0.50 W	0.00	7 of 10 - Sale ²⁵
	50.000	60.50	07/24/20	61.00	0.50 W	0.00	8 of 10 - Sale ²⁵
	30.000	36.30	07/24/20	36.60	0.30 W	0.00	9 of 10 - Sale ²⁵
	486.000	587.99	07/24/20	592.92	4.93 W	0.00	10 of 10 - Sale ²⁵
07/27/20	1,784.000	2,158.40	Various	2,176.48	18.08 W	0.00	Total of 10 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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EMAGIN CORPORATION / CUSIP: 29076N206 / Symbol: (cont'd)							
2 transactions for 07/31/20. Total proceeds and cost reported to the IRS.							
	802.000	777.82	07/24/20	978.44	...	-200.62	1 of 2 - Sale ²⁵
	28.000	27.16	07/24/20	34.16	...	-7.00	2 of 2 - Sale ²⁵
07/31/20	830.000	804.98	Various	1,012.60	...	-207.62	Total of 2 transactions
	Security total:	28,465.91		28,343.94	18.08 W	140.05	
EXELA TECHNOLOGIES, INC. COMMO N STOCK / CUSIP: 30162V102 / Symbol:							
10/12/20	1.000	0.40	07/28/20	0.67	...	-0.27	Sale ²⁵
FRANDESCAS HLDGS CORP COMMON S TOCK / CUSIP: 351793203 / Symbol:							
2 transactions for 07/02/20. Total proceeds and cost reported to the IRS.							
	575.000	3,294.67	07/02/20	3,450.00	...	-155.33	1 of 2 - Sale ²⁵
	275.000	1,575.71	07/02/20	1,650.00	...	-74.29	2 of 2 - Sale ²⁵
07/02/20	850.000	4,870.38	Various	5,100.00	...	-229.62	Total of 2 transactions
GENIUS BRANDS INTERNATIONAL, I NC. COMMON STOCK / CUSIP: 37229T301 / Symbol:							
6 transactions for 07/06/20. Total proceeds and cost reported to the IRS.							
	12.000	45.48	07/02/20	44.04	...	1.44	1 of 6 - Sale ²⁵
	38.000	144.02	07/02/20	139.46	...	4.56	2 of 6 - Sale ²⁵
	464.000	1,758.46	07/02/20	1,702.88	...	55.58	3 of 6 - Sale ²⁵
	824.000	3,122.79	07/02/20	3,024.08	...	98.71	4 of 6 - Sale ²⁵
	1,000.000	3,789.79	07/02/20	3,670.00	...	119.79	5 of 6 - Sale ²⁵
	1,232.000	4,669.02	07/02/20	4,521.44	...	147.58	6 of 6 - Sale ²⁵
07/06/20	3,570.000	13,529.56	Various	13,101.90	...	427.66	Total of 6 transactions
GEVO, INC. COMMON STOCK / CUSIP: 374396406 / Symbol:							
9 transactions for 07/07/20. Total proceeds and cost reported to the IRS.							
	3.000	1.95	07/06/20	1.89	...	0.06	1 of 9 - Sale ²⁵
	50.000	32.50	07/06/20	31.50	...	1.00	2 of 9 - Sale ²⁵
	100.000	64.99	07/06/20	63.00	...	1.99	3 of 9 - Sale ²⁵
	297.000	193.01	07/06/20	187.11	...	5.90	4 of 9 - Sale ²⁵
	500.000	324.94	07/06/20	315.00	...	9.94	5 of 9 - Sale ²⁵
	500.000	324.94	07/06/20	315.00	...	9.94	6 of 9 - Sale ²⁵
	844.000	548.48	07/06/20	531.72	...	16.76	7 of 9 - Sale ²⁵

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Account 960952398

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2020 1099-B* OMB No. 1545-0715

(continued)

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GEVO, INC. COMMON STOCK / CUSIP: 374396406 / Symbol: (cont'd)							
	8,532.000	5,544.65	07/06/20	5,375.16	...	169.49	8 of 9 - Sale ²⁵
	9,174.000	5,961.87	07/06/20	5,779.62	...	182.25	9 of 9 - Sale ²⁵
07/07/20	20,000.000	12,997.33	Various	12,600.00	...	397.33	Total of 9 transactions
HEAT BIOLOGICS, INC. COMMON STOCK / CUSIP: 42237K300 / Symbol:							
4 transactions for 07/16/20. Total proceeds and cost reported to the IRS.							
	311.000	444.69	07/15/20	416.74	...	27.95	1 of 4 - Sale ²⁵
	1,000.000	1,429.84	07/15/20	1,340.00	...	89.84	2 of 4 - Sale ²⁵
	1,743.000	2,492.23	07/15/20	2,335.62	...	156.61	3 of 4 - Sale ²⁵
	6,946.000	9,931.73	07/15/20	9,307.64	...	624.09	4 of 4 - Sale ²⁵
07/16/20	10,000.000	14,298.49	Various	13,400.00	...	898.49	Total of 4 transactions
3 transactions for 07/20/20. Total proceeds and cost reported to the IRS.							
	1.000	2.80	07/17/20	2.43	...	0.37	1 of 3 - Sale ²⁵
	100.000	279.98	07/17/20	243.00	...	36.98	2 of 3 - Sale ²⁵
	5,899.000	16,516.13	07/17/20	14,334.57	...	2,181.56	3 of 3 - Sale ²⁵
07/20/20	6,000.000	16,798.91	Various	14,580.00	...	2,218.91	Total of 3 transactions
08/06/20	1.000	2.17	07/28/20	1.99	...	0.18	Sale ²⁵
	Security total:	31,099.57		27,981.99	...	3,117.58	
HOTH THERAPEUTICS, INC. COMMON STOCK / CUSIP: 44148G105 / Symbol:							
2 transactions for 06/02/20. Total proceeds and cost reported to the IRS.							
	10.000	28.70	05/27/20	28.00	...	0.70	1 of 2 - Sale ²⁵
	1,480.000	4,247.32	05/27/20	4,144.00	...	103.32	2 of 2 - Sale ²⁵
06/02/20	1,490.000	4,276.02	Various	4,172.00	...	104.02	Total of 2 transactions
2 transactions for 08/06/20. Total proceeds and cost reported to the IRS.							
	10.000	27.60	06/02/20	28.50	...	-0.90	1 of 2 - Sale ²⁵
	1.000	2.76	06/02/20	2.85	...	-0.09	2 of 2 - Sale ²⁵
08/06/20	11.000	30.36	Various	31.35	...	-0.99	Total of 2 transactions
	Security total:	4,306.38		4,203.35	...	103.03	

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IBIO, INC. / CUSIP: 451033203 / Symbol:							
4 transactions for 07/30/20. Total proceeds and cost reported to the IRS.							
	100.000	459.98	07/28/20	461.00	...	-1.02	1 of 4 - Sale ²⁵
	300.000	1,379.93	07/28/20	1,380.00	...	-0.07	2 of 4 - Sale ²⁵
	300.000	1,379.93	07/28/20	1,380.00	...	-0.07	3 of 4 - Sale ²⁵
	1.000	4.60	07/28/20	4.11	...	0.49	4 of 4 - Sale ²⁵
07/30/20	701.000	3,224.44	Various	3,225.11	...	-0.67	Total of 4 transactions
IDEANOMICS, INC. COMMON STOCK / CUSIP: 45166V106 / Symbol:							
11 transactions for 06/23/20. Total proceeds and cost reported to the IRS.							
	162.000	502.16	06/22/20	502.20	...	-0.04	1 of 11 - Sale ²⁵
	194.000	601.36	06/22/20	601.40	...	-0.04	2 of 11 - Sale ²⁵
	149.000	461.88	06/22/20	461.90	...	-0.02	3 of 11 - Sale ²⁵
	140.000	433.98	06/22/20	434.00	...	-0.02	4 of 11 - Sale ²⁵
	91.000	282.09	06/22/20	282.10	...	-0.01	5 of 11 - Sale ²⁵
	97.000	300.69	06/22/20	300.70	...	-0.01	6 of 11 - Sale ²⁵
	35.000	108.50	06/22/20	108.50	...	0.00	7 of 11 - Sale ²⁵
	1.000	3.10	06/22/20	3.10	...	0.00	8 of 11 - Sale ²⁵
	2.000	6.20	06/22/20	6.20	...	0.00	9 of 11 - Sale ²⁵
	49.000	151.90	06/22/20	151.90	...	0.00	10 of 11 - Sale ²⁵
	10.000	31.00	06/22/20	31.00	...	0.00	11 of 11 - Sale ²⁵
06/23/20	930.000	2,882.86	Various	2,883.00	...	-0.14	Total of 11 transactions
JUST ENERGY GROUP INC. / CUSIP: 48213W101 / Symbol:							
3 transactions for 07/21/20. Total proceeds and cost reported to the IRS.							
	2,351.000	1,233.96	07/20/20	1,293.05	...	-59.09	1 of 3 - Sale ²⁵
	1,326.000	695.98	07/20/20	729.30	...	-33.32	2 of 3 - Sale ²⁵
	1,323.000	694.40	07/20/20	727.65	...	-33.25	3 of 3 - Sale ²⁵
07/21/20	5,000.000	2,624.34	Various	2,750.00	...	-125.66	Total of 3 transactions
KANDI TECHNOLOGIES GROUP, INC COMMON STOCK / CUSIP: 483709101 / Symbol:							
6 transactions for 07/29/20. Total proceeds and cost reported to the IRS.							
	100.000	1,335.96	07/29/20	950.00	...	385.96	1 of 6 - Sale ²⁵
	100.000	1,335.96	07/29/20	950.00	...	385.96	2 of 6 - Sale ²⁵
	100.000	1,335.96	07/29/20	950.00	...	385.96	3 of 6 - Sale ²⁵

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KANDI TECHNOLOGIES GROUP, INC COMMON STOCK / CUSIP: 483709101 / Symbol: (cont'd)							
	100.000	1,336.96	07/29/20	950.00	...	386.96	4 of 6 - Sale ²⁵
	200.000	2,671.92	07/29/20	1,900.00	...	771.92	5 of 6 - Sale ²⁵
	200.000	2,673.92	07/29/20	1,900.00	...	773.92	6 of 6 - Sale ²⁵
07/29/20	800.000	10,690.68	Various	7,600.00	...	3,090.68	Total of 6 transactions
NIO INC. AMERICAN DEPOSITARY SHARES, EACH REPRESENTING ONE CLASS A ORDINARY SHARE / CUSIP: 62914V106 / Symbol:							
8 transactions for 07/08/20. Total proceeds and cost reported to the IRS.							
	100.000	1,382.95	07/07/20	1,354.00	...	28.95	1 of 8 - Sale ²⁵
	100.000	1,382.95	07/07/20	1,354.00	...	28.95	2 of 8 - Sale ²⁵
	100.000	1,382.95	07/07/20	1,354.00	...	28.95	3 of 8 - Sale ²⁵
	100.000	1,382.95	07/07/20	1,354.00	...	28.95	4 of 8 - Sale ²⁵
	100.000	1,383.45	07/07/20	1,354.00	...	29.45	5 of 8 - Sale ²⁵
	100.000	1,383.45	07/07/20	1,354.00	...	29.45	6 of 8 - Sale ²⁵
	200.000	2,765.91	07/07/20	2,708.00	...	57.91	7 of 8 - Sale ²⁵
	200.000	2,766.91	07/07/20	2,708.00	...	58.91	8 of 8 - Sale ²⁵
07/08/20	1,000.000	13,831.52	Various	13,540.00	...	291.52	Total of 8 transactions
NTN BUZZTIME, INC / CUSIP: 629410606 / Symbol:							
3 transactions for 06/16/20. Total proceeds and cost reported to the IRS.							
	1,002.000	3,677.13	06/16/20	3,717.42	...	-40.29	1 of 3 - Sale ²⁵
	328.000	1,203.69	06/16/20	1,216.88	...	-13.19	2 of 3 - Sale ²⁵
	160.000	587.17	06/16/20	600.04	...	-12.87	3 of 3 - Sale ²⁵
06/16/20	1,490.000	5,467.99	Various	5,534.34	...	-66.35	Total of 3 transactions
06/16/20	160.000	587.16	06/16/20	593.60	6.44 W	0.00	Sale ²⁵
	Security total:	6,055.15		6,127.94	6.44 W	-66.35	
NIKOLA CORPORATION COMMON STOCK / CUSIP: 654110105 / Symbol:							
07/17/20	350.000	13,982.15	07/17/20	14,000.00	...	-17.85	Sale ²⁵
NOVAN, INC. COMMON STOCK / CUSIP: 66988N106 / Symbol:							
15 transactions for 07/22/20. Total proceeds and cost reported to the IRS.							
	6,325.000	6,577.09	07/21/20	6,957.50	...	-380.41	1 of 15 - Sale ²⁵
	875.000	909.87	07/21/20	1,015.13	...	-105.26	2 of 15 - Sale ²⁵
	525.000	545.92	07/21/20	640.66	...	-94.74	3 of 15 - Sale ²⁵

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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)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
NOVAN, INC. COMMON STOCK / CUSIP: 66988N106 / Symbol: (cont'd)							
	700.000	727.90	07/21/20	812.11	...	-84.21	4 of 15 - Sale ²⁵
	355.000	369.15	07/21/20	433.20	...	-64.05	5 of 15 - Sale ²⁵
	255.000	265.16	07/21/20	295.84	...	-30.68	6 of 15 - Sale ²⁵
	220.000	228.77	07/21/20	255.23	...	-26.46	7 of 15 - Sale ²⁵
	145.000	150.78	07/21/20	176.94	...	-26.16	8 of 15 - Sale ²⁵
	100.000	103.99	07/21/20	122.03	...	-18.04	9 of 15 - Sale ²⁵
	69.000	71.75	07/21/20	88.35	...	-16.60	10 of 15 - Sale ²⁵
	69.000	71.75	07/21/20	88.34	...	-16.59	11 of 15 - Sale ²⁵
	100.000	103.99	07/21/20	116.02	...	-12.03	12 of 15 - Sale ²⁵
	100.000	103.99	07/21/20	116.01	...	-12.02	13 of 15 - Sale ²⁵
	31.000	32.24	07/21/20	39.69	...	-7.45	14 of 15 - Sale ²⁵
	31.000	32.24	07/21/20	39.69	...	-7.45	15 of 15 - Sale ²⁵
07/22/20	9,900.000	10,294.59	Various	11,196.74	...	-902.15	Total of 15 transactions
	16 transactions for 07/22/20. Total proceeds and cost reported to the IRS.						
	100.000	103.99	07/21/20	110.00	6.01 W	0.00	1 of 16 - Sale ²⁵
	100.000	103.99	07/21/20	110.00	6.01 W	0.00	2 of 16 - Sale ²⁵
	100.000	103.98	07/21/20	110.00	6.02 W	0.00	3 of 16 - Sale ²⁵
	100.000	103.99	07/21/20	116.01	12.02 W	0.00	4 of 16 - Sale ²⁵
	100.000	103.98	07/21/20	116.01	12.03 W	0.00	5 of 16 - Sale ²⁵
	145.000	150.78	07/21/20	159.50	8.72 W	0.00	6 of 16 - Sale ²⁵
	880.000	915.07	07/21/20	968.00	52.93 W	0.00	7 of 16 - Sale ²⁵
	100.000	103.99	07/21/20	122.02	18.03 W	0.00	8 of 16 - Sale ²⁵
	100.000	103.99	07/21/20	122.03	18.04 W	0.00	9 of 16 - Sale ²⁵
	100.000	103.99	07/21/20	116.02	12.03 W	0.00	10 of 16 - Sale ²⁵
	145.000	150.78	07/21/20	168.22	17.44 W	0.00	11 of 16 - Sale ²⁵
	675.000	701.90	07/21/20	742.50	40.60 W	0.00	12 of 16 - Sale ²⁵
	355.000	369.15	07/21/20	411.85	42.70 W	0.00	13 of 16 - Sale ²⁵
	525.000	545.92	07/21/20	609.08	63.16 W	0.00	14 of 16 - Sale ²⁵
	875.000	909.87	07/21/20	962.50	52.63 W	0.00	15 of 16 - Sale ²⁵
	700.000	727.89	07/21/20	770.00	42.11 W	0.00	16 of 16 - Sale ²⁵
07/22/20	5,100.000	5,303.26	Various	5,713.74	410.48 W	0.00	Total of 16 transactions
	Security total:	15,597.85		16,910.48	410.48 W	-902.15	

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Robinhood Securities LLC

Account 960952398

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
OCUGEN, INC. COMMON STOCK / CUSIP: 67577C105 / Symbol:							
64 transactions for 07/28/20. Total proceeds and cost reported to the IRS.							
1.000		0.74	07/27/20	0.54	...	0.20	1 of 64 - Sale ²⁵
200.000		147.97	07/27/20	125.80	...	22.17	2 of 64 - Sale ²⁵
400.000		295.95	07/27/20	251.60	...	44.35	3 of 64 - Sale ²⁵
500.000		369.93	07/27/20	314.50	...	55.43	4 of 64 - Sale ²⁵
500.000		369.93	07/27/20	314.50	...	55.43	5 of 64 - Sale ²⁵
500.000		369.93	07/27/20	314.50	...	55.43	6 of 64 - Sale ²⁵
500.000		369.93	07/27/20	314.50	...	55.43	7 of 64 - Sale ²⁵
819.000		605.95	07/27/20	515.48	...	90.47	8 of 64 - Sale ²⁵
1,000.000		739.86	07/27/20	630.00	...	109.86	9 of 64 - Sale ²⁵
1,300.000		961.82	07/27/20	819.00	...	142.82	10 of 64 - Sale ²⁵
8,781.000		6,496.76	07/27/20	5,527.64	...	969.12	11 of 64 - Sale ²⁵
455.000		354.85	07/28/20	417.89	...	-63.04	12 of 64 - Sale ²⁵
122.000		95.13	07/28/20	146.05	...	-50.92	13 of 64 - Sale ²⁵
700.000		545.90	07/28/20	595.00	...	-49.10	14 of 64 - Sale ²⁵
105.000		81.88	07/28/20	125.67	...	-43.79	15 of 64 - Sale ²⁵
100.000		77.98	07/28/20	113.06	...	-35.08	16 of 64 - Sale ²⁵
100.000		77.99	07/28/20	113.05	...	-35.06	17 of 64 - Sale ²⁵
90.000		70.19	07/28/20	101.75	...	-31.56	18 of 64 - Sale ²⁵
73.000		56.93	07/28/20	87.37	...	-30.44	19 of 64 - Sale ²⁵
72.000		56.15	07/28/20	86.17	...	-30.02	20 of 64 - Sale ²⁵
65.000		50.69	07/28/20	78.04	...	-27.35	21 of 64 - Sale ²⁵
64.000		49.91	07/28/20	76.61	...	-26.70	22 of 64 - Sale ²⁵
63.000		49.13	07/28/20	75.30	...	-26.17	23 of 64 - Sale ²⁵
72.000		56.15	07/28/20	81.40	...	-25.25	24 of 64 - Sale ²⁵
72.000		56.15	07/28/20	81.40	...	-25.25	25 of 64 - Sale ²⁵
56.000		43.67	07/28/20	67.15	...	-23.48	26 of 64 - Sale ²⁵
55.000		42.89	07/28/20	65.84	...	-22.95	27 of 64 - Sale ²⁵
55.000		42.89	07/28/20	65.84	...	-22.95	28 of 64 - Sale ²⁵
50.000		38.99	07/28/20	60.02	...	-21.03	29 of 64 - Sale ²⁵
56.000		43.67	07/28/20	63.31	...	-19.64	30 of 64 - Sale ²⁵
55.000		42.89	07/28/20	62.18	...	-19.29	31 of 64 - Sale ²⁵
45.000		35.09	07/28/20	54.05	...	-18.96	32 of 64 - Sale ²⁵
45.000		35.09	07/28/20	53.88	...	-18.79	33 of 64 - Sale ²⁵

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Robinhood Securities LLC

Account 960952398

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
OCUGEN, INC. COMMON STOCK / CUSIP: 67577C105 / Symbol: (cont'd)							
	45.000	35.09	07/28/20	53.85	...	-18.76	34 of 64 - Sale ²⁵
	40.000	31.20	07/28/20	47.87	...	-16.67	35 of 64 - Sale ²⁵
	45.000	35.09	07/28/20	50.87	...	-15.78	36 of 64 - Sale ²⁵
	37.000	28.86	07/28/20	44.22	...	-15.36	37 of 64 - Sale ²⁵
	35.000	27.30	07/28/20	41.83	...	-14.53	38 of 64 - Sale ²⁵
	100.000	77.98	07/28/20	91.67	...	-13.69	39 of 64 - Sale ²⁵
	97.000	75.65	07/28/20	89.09	...	-13.44	40 of 64 - Sale ²⁵
	28.000	21.84	07/28/20	33.62	...	-11.78	41 of 64 - Sale ²⁵
	28.000	21.84	07/28/20	33.58	...	-11.74	42 of 64 - Sale ²⁵
	28.000	21.84	07/28/20	33.52	...	-11.68	43 of 64 - Sale ²⁵
	27.000	21.06	07/28/20	32.42	...	-11.36	44 of 64 - Sale ²⁵
	27.000	21.06	07/28/20	32.42	...	-11.36	45 of 64 - Sale ²⁵
	76.000	59.27	07/28/20	69.52	...	-10.25	46 of 64 - Sale ²⁵
	28.000	21.84	07/28/20	31.66	...	-9.82	47 of 64 - Sale ²⁵
	28.000	21.84	07/28/20	31.66	...	-9.82	48 of 64 - Sale ²⁵
	28.000	21.84	07/28/20	31.66	...	-9.82	49 of 64 - Sale ²⁵
	28.000	21.84	07/28/20	31.65	...	-9.81	50 of 64 - Sale ²⁵
	27.000	21.06	07/28/20	30.52	...	-9.46	51 of 64 - Sale ²⁵
	22.000	17.16	07/28/20	26.42	...	-9.26	52 of 64 - Sale ²⁵
	100.000	77.99	07/28/20	85.00	...	-7.01	53 of 64 - Sale ²⁵
	16.000	12.48	07/28/20	19.19	...	-6.71	54 of 64 - Sale ²⁵
	15.000	11.70	07/28/20	17.95	...	-6.25	55 of 64 - Sale ²⁵
	16.000	12.48	07/28/20	18.09	...	-5.61	56 of 64 - Sale ²⁵
	73.000	56.93	07/28/20	62.05	...	-5.12	57 of 64 - Sale ²⁵
	10.000	7.80	07/28/20	11.94	...	-4.14	58 of 64 - Sale ²⁵
	9.000	7.02	07/28/20	10.77	...	-3.75	59 of 64 - Sale ²⁵
	27.000	21.06	07/28/20	24.70	...	-3.64	60 of 64 - Sale ²⁵
	8.000	6.24	07/28/20	9.60	...	-3.36	61 of 64 - Sale ²⁵
	8.000	6.24	07/28/20	9.04	...	-2.80	62 of 64 - Sale ²⁵
	1.000	0.78	07/28/20	1.13	...	-0.35	63 of 64 - Sale ²⁵
	1.000	0.78	07/28/20	1.13	...	-0.35	64 of 64 - Sale ²⁵
07/28/20	18,129.000	13,558.14	Various	12,907.73	...	650.41	Total of 64 transactions

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Robinhood Securities LLC

Account 960952398

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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OCUGEN, INC. COMMON STOCK / CUSIP: 67577C105 / Symbol: (cont'd)							
<i>95 transactions for 07/28/20. Total proceeds and cost reported to the IRS.</i>							
2,127.000		1,658.77	07/28/20	1,804.34	51.67 W	-93.90	1 of 95 - Sale ²⁵
145.000		113.08	07/28/20	123.25	10.17 W	0.00	2 of 95 - Sale ²⁵
300.000		233.96	07/28/20	255.00	21.04 W	0.00	3 of 95 - Sale ²⁵
455.000		354.84	07/28/20	386.75	31.91 W	0.00	4 of 95 - Sale ²⁵
800.000		623.88	07/28/20	680.00	56.12 W	0.00	5 of 95 - Sale ²⁵
156.000		121.66	07/28/20	132.60	10.94 W	0.00	6 of 95 - Sale ²⁵
144.000		112.30	07/28/20	122.40	10.10 W	0.00	7 of 95 - Sale ²⁵
56.000		43.67	07/28/20	51.53	7.86 W	0.00	8 of 95 - Sale ²⁵
44.000		34.31	07/28/20	40.48	6.17 W	0.00	9 of 95 - Sale ²⁵
45.000		35.09	07/28/20	41.41	6.32 W	0.00	10 of 95 - Sale ²⁵
105.000		81.89	07/28/20	96.61	14.72 W	0.00	11 of 95 - Sale ²⁵
105.000		81.89	07/28/20	96.61	14.72 W	0.00	12 of 95 - Sale ²⁵
195.000		152.07	07/28/20	179.43	27.36 W	0.00	13 of 95 - Sale ²⁵
186.000		145.05	07/28/20	171.15	26.10 W	0.00	14 of 95 - Sale ²⁵
100.000		77.99	07/28/20	92.02	14.03 W	0.00	15 of 95 - Sale ²⁵
164.000		127.90	07/28/20	150.90	23.00 W	0.00	16 of 95 - Sale ²⁵
100.000		77.99	07/28/20	92.01	14.02 W	0.00	17 of 95 - Sale ²⁵
236.000		184.05	07/28/20	217.16	33.11 W	0.00	18 of 95 - Sale ²⁵
1.000		0.78	07/28/20	0.92	0.14 W	0.00	19 of 95 - Sale ²⁵
44.000		34.31	07/28/20	43.57	9.26 W	0.00	20 of 95 - Sale ²⁵
56.000		43.67	07/28/20	55.46	11.79 W	0.00	21 of 95 - Sale ²⁵
144.000		112.30	07/28/20	132.50	20.20 W	0.00	22 of 95 - Sale ²⁵
156.000		121.66	07/28/20	143.54	21.88 W	0.00	23 of 95 - Sale ²⁵
363.000		283.09	07/28/20	334.01	50.92 W	0.00	24 of 95 - Sale ²⁵
45.000		35.09	07/28/20	44.57	9.48 W	0.00	25 of 95 - Sale ²⁵
105.000		81.89	07/28/20	103.97	22.08 W	0.00	26 of 95 - Sale ²⁵
87.000		67.85	07/28/20	86.16	18.31 W	0.00	27 of 95 - Sale ²⁵
100.000		77.99	07/28/20	99.03	21.04 W	0.00	28 of 95 - Sale ²⁵
105.000		81.88	07/28/20	103.97	22.09 W	0.00	29 of 95 - Sale ²⁵
164.000		127.90	07/28/20	162.40	34.50 W	0.00	30 of 95 - Sale ²⁵
186.000		145.05	07/28/20	184.20	39.15 W	0.00	31 of 95 - Sale ²⁵
108.000		84.23	07/28/20	106.95	22.72 W	0.00	32 of 95 - Sale ²⁵
100.000		77.99	07/28/20	99.02	21.03 W	0.00	33 of 95 - Sale ²⁵

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Account 960952398

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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OCUGEN, INC. COMMON STOCK / CUSIP: 67577C105 / Symbol: (cont'd)							
	35.000	27.29	07/28/20	34.66	7.37 W	0.00	34 of 95 - Sale ²⁵
	100.000	77.99	07/28/20	99.03	21.04 W	0.00	35 of 95 - Sale ²⁵
	100.000	77.99	07/28/20	99.03	21.04 W	0.00	36 of 95 - Sale ²⁵
	1.000	0.78	07/28/20	0.99	0.21 W	0.00	37 of 95 - Sale ²⁵
	8.000	6.24	07/28/20	7.92	1.68 W	0.00	38 of 95 - Sale ²⁵
	1.000	0.78	07/28/20	0.99	0.21 W	0.00	39 of 95 - Sale ²⁵
	155.000	120.88	07/28/20	153.49	32.61 W	0.00	40 of 95 - Sale ²⁵
	100.000	77.99	07/28/20	99.03	21.04 W	0.00	41 of 95 - Sale ²⁵
	200.000	155.97	07/28/20	198.06	42.09 W	0.00	42 of 95 - Sale ²⁵
	44.000	34.31	07/28/20	43.57	9.26 W	0.00	43 of 95 - Sale ²⁵
	56.000	43.67	07/28/20	55.45	11.78 W	0.00	44 of 95 - Sale ²⁵
	100.000	77.99	07/28/20	99.03	21.04 W	0.00	45 of 95 - Sale ²⁵
	44.000	34.31	07/28/20	46.59	12.28 W	0.00	46 of 95 - Sale ²⁵
	56.000	43.67	07/28/20	59.29	15.62 W	0.00	47 of 95 - Sale ²⁵
	45.000	35.09	07/28/20	47.73	12.64 W	0.00	48 of 95 - Sale ²⁵
	55.000	42.89	07/28/20	58.32	15.43 W	0.00	49 of 95 - Sale ²⁵
	50.000	39.00	07/28/20	53.01	14.01 W	0.00	50 of 95 - Sale ²⁵
	87.000	67.85	07/28/20	92.26	24.41 W	0.00	51 of 95 - Sale ²⁵
	8.000	6.24	07/28/20	8.48	2.24 W	0.00	52 of 95 - Sale ²⁵
	24.000	18.72	07/28/20	25.45	6.73 W	0.00	53 of 95 - Sale ²⁵
	105.000	81.89	07/28/20	111.34	29.45 W	0.00	54 of 95 - Sale ²⁵
	100.000	77.99	07/28/20	106.04	28.05 W	0.00	55 of 95 - Sale ²⁵
	186.000	145.05	07/28/20	197.25	52.20 W	0.00	56 of 95 - Sale ²⁵
	40.000	31.20	07/28/20	42.41	11.21 W	0.00	57 of 95 - Sale ²⁵
	45.000	35.09	07/28/20	47.72	12.63 W	0.00	58 of 95 - Sale ²⁵
	55.000	42.89	07/28/20	58.32	15.43 W	0.00	59 of 95 - Sale ²⁵
	100.000	77.99	07/28/20	106.04	28.05 W	0.00	60 of 95 - Sale ²⁵
	45.000	35.10	07/28/20	47.71	12.61 W	0.00	61 of 95 - Sale ²⁵
	55.000	42.89	07/28/20	58.32	15.43 W	0.00	62 of 95 - Sale ²⁵
	35.000	27.30	07/28/20	37.12	9.82 W	0.00	63 of 95 - Sale ²⁵
	100.000	77.99	07/28/20	106.04	28.05 W	0.00	64 of 95 - Sale ²⁵
	10.000	7.80	07/28/20	10.60	2.80 W	0.00	65 of 95 - Sale ²⁵
	1.000	0.78	07/28/20	1.06	0.28 W	0.00	66 of 95 - Sale ²⁵
	1.000	0.78	07/28/20	1.06	0.28 W	0.00	67 of 95 - Sale ²⁵

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Robinhood Securities LLC

Account 960952398

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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OCUGEN, INC. COMMON STOCK / CUSIP: 67577C105 / Symbol: (cont'd)							
	8.000	6.24	07/28/20	8.48	2.24 W	0.00	68 of 95 - Sale ²⁵
	44.000	34.31	07/28/20	46.66	12.35 W	0.00	69 of 95 - Sale ²⁵
	44.000	34.31	07/28/20	49.68	15.37 W	0.00	70 of 95 - Sale ²⁵
	45.000	35.09	07/28/20	50.89	15.80 W	0.00	71 of 95 - Sale ²⁵
	55.000	42.89	07/28/20	62.18	19.29 W	0.00	72 of 95 - Sale ²⁵
	56.000	43.67	07/28/20	59.38	15.71 W	0.00	73 of 95 - Sale ²⁵
	56.000	43.67	07/28/20	63.22	19.55 W	0.00	74 of 95 - Sale ²⁵
	90.000	70.19	07/28/20	95.44	25.25 W	0.00	75 of 95 - Sale ²⁵
	100.000	77.99	07/28/20	106.04	28.05 W	0.00	76 of 95 - Sale ²⁵
	100.000	77.99	07/28/20	106.04	28.05 W	0.00	77 of 95 - Sale ²⁵
	155.000	120.88	07/28/20	164.36	43.48 W	0.00	78 of 95 - Sale ²⁵
	200.000	155.97	07/28/20	212.09	56.12 W	0.00	79 of 95 - Sale ²⁵
	8.000	6.24	07/28/20	9.04	2.80 W	0.00	80 of 95 - Sale ²⁵
	24.000	18.72	07/28/20	27.13	8.41 W	0.00	81 of 95 - Sale ²⁵
	40.000	31.19	07/28/20	45.21	14.02 W	0.00	82 of 95 - Sale ²⁵
	45.000	35.09	07/28/20	50.88	15.79 W	0.00	83 of 95 - Sale ²⁵
	45.000	35.09	07/28/20	50.86	15.77 W	0.00	84 of 95 - Sale ²⁵
	50.000	38.99	07/28/20	56.51	17.52 W	0.00	85 of 95 - Sale ²⁵
	55.000	42.89	07/28/20	62.18	19.29 W	0.00	86 of 95 - Sale ²⁵
	55.000	42.89	07/28/20	62.18	19.29 W	0.00	87 of 95 - Sale ²⁵
	87.000	67.85	07/28/20	98.36	30.51 W	0.00	88 of 95 - Sale ²⁵
	100.000	77.99	07/28/20	113.05	35.06 W	0.00	89 of 95 - Sale ²⁵
	100.000	77.99	07/28/20	113.05	35.06 W	0.00	90 of 95 - Sale ²⁵
	105.000	81.89	07/28/20	118.70	36.81 W	0.00	91 of 95 - Sale ²⁵
	186.000	145.05	07/28/20	210.30	65.25 W	0.00	92 of 95 - Sale ²⁵
	10.000	7.80	07/28/20	11.28	3.48 W	0.00	93 of 95 - Sale ²⁵
	35.000	27.30	07/28/20	39.51	12.21 W	0.00	94 of 95 - Sale ²⁵
	100.000	77.99	07/28/20	112.88	34.89 W	0.00	95 of 95 - Sale ²⁵
07/28/20	11,372.000	8,868.62	Various	10,852.91	1,890.39 W	-93.90	Total of 95 transactions
	Security total:	22,426.76		23,760.64	1,890.39 W	556.51	

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Robinhood Securities LLC

Account 960952398

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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

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ONCONOVA THERAPEUTICS, INC. CO MMON STOCK / CUSIP: 68232V405 / Symbol:							
<i>23 transactions for 06/12/20. Total proceeds and cost reported to the IRS.</i>							
	1,000.000	595.77	06/11/20	590.00	...	5.77	1 of 23 - Sale ²⁵
	3,100.000	1,846.88	06/11/20	1,829.00	...	17.88	2 of 23 - Sale ²⁵
	2,500.000	1,525.17	06/12/20	1,575.00	...	-49.83	3 of 23 - Sale ²⁵
	1,000.000	610.07	06/12/20	644.24	...	-34.17	4 of 23 - Sale ²⁵
	814.000	496.60	06/12/20	524.41	...	-27.81	5 of 23 - Sale ²⁵
	700.000	427.05	06/12/20	450.96	...	-23.91	6 of 23 - Sale ²⁵
	664.000	405.08	06/12/20	427.77	...	-22.69	7 of 23 - Sale ²⁵
	636.000	388.00	06/12/20	409.74	...	-21.74	8 of 23 - Sale ²⁵
	376.000	229.39	06/12/20	242.23	...	-12.84	9 of 23 - Sale ²⁵
	311.000	189.73	06/12/20	200.35	...	-10.62	10 of 23 - Sale ²⁵
	500.000	305.03	06/12/20	315.00	...	-9.97	11 of 23 - Sale ²⁵
	184.000	112.25	06/12/20	121.56	...	-9.31	12 of 23 - Sale ²⁵
	156.000	95.17	06/12/20	103.06	...	-7.89	13 of 23 - Sale ²⁵
	204.000	124.45	06/12/20	131.42	...	-6.97	14 of 23 - Sale ²⁵
	100.000	61.01	06/12/20	66.06	...	-5.05	15 of 23 - Sale ²⁵
	100.000	61.01	06/12/20	66.06	...	-5.05	16 of 23 - Sale ²⁵
	95.000	57.96	06/12/20	62.76	...	-4.80	17 of 23 - Sale ²⁵
	44.000	26.84	06/12/20	29.07	...	-2.23	18 of 23 - Sale ²⁵
	50.000	30.50	06/12/20	32.21	...	-1.71	19 of 23 - Sale ²⁵
	25.000	15.25	06/12/20	16.11	...	-0.86	20 of 23 - Sale ²⁵
	20.000	12.20	06/12/20	12.88	...	-0.68	21 of 23 - Sale ²⁵
	12.000	7.32	06/12/20	7.93	...	-0.61	22 of 23 - Sale ²⁵
	9.000	5.49	06/12/20	5.95	...	-0.46	23 of 23 - Sale ²⁵
06/12/20	12,600.000	7,628.22	Various	7,863.77	...	-235.55	Total of 23 transactions
<i>20 transactions for 06/12/20. Total proceeds and cost reported to the IRS.</i>							
	156.000	92.94	06/11/20	95.16	2.22 W	0.00	1 of 20 - Sale ²⁵
	339.000	201.97	06/11/20	206.79	4.82 W	0.00	2 of 20 - Sale ²⁵
	9.000	5.36	06/11/20	5.49	0.13 W	0.00	3 of 20 - Sale ²⁵
	12.000	7.15	06/11/20	7.32	0.17 W	0.00	4 of 20 - Sale ²⁵
	560.000	333.63	06/11/20	341.60	7.97 W	0.00	5 of 20 - Sale ²⁵
	20.000	11.92	06/11/20	12.20	0.28 W	0.00	6 of 20 - Sale ²⁵
	700.000	417.04	06/11/20	427.00	9.96 W	0.00	7 of 20 - Sale ²⁵
	840.000	500.44	06/11/20	512.40	11.96 W	0.00	8 of 20 - Sale ²⁵

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Robinhood Securities LLC

Account 960952398

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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ONCONOVA THERAPEUTICS, INC. CO MMON STOCK / CUSIP: 68232V405 / Symbol: (cont'd)							
	1,000.000	595.76	06/11/20	610.00	14.24 W	0.00	9 of 20 - Sale ²⁵
	1,000.000	595.77	06/11/20	610.00	14.23 W	0.00	10 of 20 - Sale ²⁵
	50.000	29.79	06/11/20	30.50	0.71 W	0.00	11 of 20 - Sale ²⁵
	814.000	484.95	06/11/20	496.54	11.59 W	0.00	12 of 20 - Sale ²⁵
	156.000	95.72	06/12/20	100.50	4.78 W	0.00	13 of 20 - Sale ²⁵
	44.000	27.00	06/12/20	28.35	1.35 W	0.00	14 of 20 - Sale ²⁵
	100.000	61.36	06/12/20	64.42	3.06 W	0.00	15 of 20 - Sale ²⁵
	100.000	61.36	06/12/20	64.42	3.06 W	0.00	16 of 20 - Sale ²⁵
	9.000	5.52	06/12/20	5.80	0.28 W	0.00	17 of 20 - Sale ²⁵
	12.000	7.36	06/12/20	7.73	0.37 W	0.00	18 of 20 - Sale ²⁵
	95.000	58.29	06/12/20	61.20	2.91 W	0.00	19 of 20 - Sale ²⁵
	184.000	112.90	06/12/20	118.54	5.64 W	0.00	20 of 20 - Sale ²⁵
06/12/20	6,200.000	3,706.23	Various	3,805.96	99.73 W	0.00	Total of 20 transactions
	Security total:	11,334.45		11,669.73	99.73 W	-235.55	
ORAGENICS INC. / CUSIP: 684023302 / Symbol:							
	2 transactions for 07/21/20. Total proceeds and cost reported to the IRS.						
	1,840.000	2,906.92	07/20/20	2,668.00	...	238.92	1 of 2 - Sale ²⁵
	7,660.000	12,101.61	07/20/20	11,107.00	...	994.61	2 of 2 - Sale ²⁵
07/21/20	9,500.000	15,008.53	Various	13,775.00	...	1,233.53	Total of 2 transactions
POLYMET MINING CORP. / CUSIP: 731916102 / Symbol:							
	11 transactions for 06/25/20. Total proceeds and cost reported to the IRS.						
	1,496.000	605.68	06/17/20	920.24	...	-314.56	1 of 11 - Sale ²⁵
	1,219.000	493.54	06/17/20	743.74	...	-250.20	2 of 11 - Sale ²⁵
	1,000.000	404.86	06/17/20	613.12	...	-208.26	3 of 11 - Sale ²⁵
	500.000	202.43	06/17/20	305.06	...	-102.63	4 of 11 - Sale ²⁵
	250.000	101.22	06/17/20	153.78	...	-52.56	5 of 11 - Sale ²⁵
	108.000	43.72	06/17/20	66.43	...	-22.71	6 of 11 - Sale ²⁵
	100.000	40.49	06/17/20	61.01	...	-20.52	7 of 11 - Sale ²⁵
	100.000	40.49	06/17/20	61.01	...	-20.52	8 of 11 - Sale ²⁵
	100.000	40.49	06/17/20	61.01	...	-20.52	9 of 11 - Sale ²⁵
	183.000	74.09	06/17/20	93.33	...	-19.24	10 of 11 - Sale ²⁵

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Account 960952398

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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POLYMET MINING CORP. / CUSIP: 731916102 / Symbol: (cont'd)							
	33.000	13.37	06/17/20	20.30	...	-6.93	11 of 11 - Sale ²⁵
06/25/20	5,089.000	2,060.38	Various	3,099.03	...	-1,038.65	Total of 11 transactions
	8 transactions for 06/25/20. Total proceeds and cost reported to the IRS.						
	52.000	21.05	06/17/20	26.52	3.47 W	-2.00	1 of 8 - Sale ²⁵
	500.000	204.94	06/17/20	255.00	50.06 W	0.00	2 of 8 - Sale ²⁵
	1,219.000	499.64	06/17/20	621.69	122.05 W	0.00	3 of 8 - Sale ²⁵
	100.000	40.99	06/17/20	51.00	10.01 W	0.00	4 of 8 - Sale ²⁵
	100.000	40.99	06/17/20	51.00	10.01 W	0.00	5 of 8 - Sale ²⁵
	100.000	40.99	06/17/20	51.00	10.01 W	0.00	6 of 8 - Sale ²⁵
	1,000.000	406.88	06/17/20	510.00	103.12 W	0.00	7 of 8 - Sale ²⁵
	1,854.000	750.63	06/17/20	945.54	194.91 W	0.00	8 of 8 - Sale ²⁵
06/25/20	4,925.000	2,006.11	Various	2,511.75	503.64 W	-2.00	Total of 8 transactions
	Security total:	4,066.49		5,610.78	503.64 W	-1,040.65	
PRECIPIO, INC. COMMON STOCK / CUSIP: 74019L503 / Symbol:							
	7 transactions for 07/31/20. Total proceeds and cost reported to the IRS.						
	398.000	2,149.10	07/30/20	2,467.70	...	-318.60	1 of 7 - Sale ²⁵
	200.000	1,079.95	07/30/20	1,240.05	...	-160.10	2 of 7 - Sale ²⁵
	312.000	1,684.73	07/30/20	1,809.60	...	-124.87	3 of 7 - Sale ²⁵
	150.000	809.96	07/30/20	930.04	...	-120.08	4 of 7 - Sale ²⁵
	50.000	269.99	07/30/20	310.00	...	-40.01	5 of 7 - Sale ²⁵
	25.000	134.99	07/30/20	155.00	...	-20.01	6 of 7 - Sale ²⁵
	42.000	226.79	07/30/20	243.60	...	-16.81	7 of 7 - Sale ²⁵
07/31/20	1,177.000	6,355.51	Various	7,155.99	...	-800.48	Total of 7 transactions
	4 transactions for 07/31/20. Total proceeds and cost reported to the IRS.						
	548.000	2,959.06	07/30/20	3,178.40	219.34 W	0.00	1 of 4 - Sale ²⁵
	200.000	1,079.95	07/30/20	1,160.00	80.05 W	0.00	2 of 4 - Sale ²⁵
	25.000	135.00	07/30/20	145.00	10.00 W	0.00	3 of 4 - Sale ²⁵
	50.000	270.00	07/30/20	290.00	20.00 W	0.00	4 of 4 - Sale ²⁵
07/31/20	823.000	4,444.01	Various	4,773.40	329.39 W	0.00	Total of 4 transactions
	Security total:	10,799.52		11,929.39	329.39 W	-800.48	

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2020 1099-B* OMB No. 1545-0715

(continued)

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QUDIAN INC. AMERICAN DEPOSITAR Y SHARES, EACH REPRESENTING ON E CLASS A ORDINARY SHARE / CUSIP: 747798106 / Symbol:							
5 transactions for 07/09/20. Total proceeds and cost reported to the IRS.							
	20.000	56.00	07/08/20	50.00	...	6.00	1 of 5 - Sale ²⁵
	360.000	1,007.93	07/08/20	900.00	...	107.93	2 of 5 - Sale ²⁵
	897.000	2,511.44	07/08/20	2,242.50	...	268.94	3 of 5 - Sale ²⁵
	1,000.000	2,799.81	07/08/20	2,500.00	...	299.81	4 of 5 - Sale ²⁵
	3,323.000	9,303.79	07/08/20	8,307.50	...	996.29	5 of 5 - Sale ²⁵
07/09/20	5,600.000	15,678.97	Various	14,000.00	...	1,678.97	Total of 5 transactions
REEDS, INC. COMMON STOCK / CUSIP: 758338107 / Symbol:							
20 transactions for 06/04/20. Total proceeds and cost reported to the IRS.							
	1,130.000	1,310.63	06/03/20	1,367.30	...	-56.67	1 of 20 - Sale ²⁵
	381.000	441.90	06/03/20	491.62	...	-49.72	2 of 20 - Sale ²⁵
	251.000	291.13	06/03/20	323.87	...	-32.74	3 of 20 - Sale ²⁵
	751.000	878.56	06/03/20	908.71	...	-30.15	4 of 20 - Sale ²⁵
	489.000	572.05	06/03/20	591.69	...	-19.64	5 of 20 - Sale ²⁵
	119.000	138.02	06/03/20	153.55	...	-15.53	6 of 20 - Sale ²⁵
	222.000	257.49	06/03/20	268.62	...	-11.13	7 of 20 - Sale ²⁵
	50.000	57.99	06/03/20	64.51	...	-6.52	8 of 20 - Sale ²⁵
	100.000	115.99	06/03/20	121.00	...	-5.01	9 of 20 - Sale ²⁵
	100.000	115.99	06/03/20	121.00	...	-5.01	10 of 20 - Sale ²⁵
	37.000	42.91	06/03/20	47.74	...	-4.83	11 of 20 - Sale ²⁵
	52.000	60.83	06/03/20	65.01	...	-4.18	12 of 20 - Sale ²⁵
	50.000	58.00	06/03/20	60.50	...	-2.50	13 of 20 - Sale ²⁵
	15.000	17.40	06/03/20	19.35	...	-1.95	14 of 20 - Sale ²⁵
	10.000	11.60	06/03/20	12.90	...	-1.30	15 of 20 - Sale ²⁵
	24.000	28.08	06/03/20	29.04	...	-0.96	16 of 20 - Sale ²⁵
	11.000	12.87	06/03/20	13.75	...	-0.88	17 of 20 - Sale ²⁵
	4.000	4.64	06/03/20	5.16	...	-0.52	18 of 20 - Sale ²⁵
	3.000	3.48	06/03/20	3.87	...	-0.39	19 of 20 - Sale ²⁵
	4.000	4.64	06/03/20	4.84	...	-0.20	20 of 20 - Sale ²⁵
06/04/20	3,803.000	4,424.20	Various	4,674.03	...	-249.83	Total of 20 transactions
11 transactions for 06/04/20. Total proceeds and cost reported to the IRS.							
	448.000	524.09	06/03/20	560.07	20.16 W	-15.82	1 of 11 - Sale ²⁵
	500.000	584.92	06/03/20	605.00	20.08 W	0.00	2 of 11 - Sale ²⁵

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REEDS, INC. COMMON STOCK / CUSIP: 758338107 / Symbol: (cont'd)							
	567.000	663.30	06/03/20	686.07	22.77 W	0.00	3 of 11 - Sale ²⁵
	63.000	73.70	06/03/20	76.23	2.53 W	0.00	4 of 11 - Sale ²⁵
	87.000	101.78	06/03/20	108.76	6.98 W	0.00	5 of 11 - Sale ²⁵
	4.000	4.68	06/03/20	5.00	0.32 W	0.00	6 of 11 - Sale ²⁵
	3.000	3.51	06/03/20	3.75	0.24 W	0.00	7 of 11 - Sale ²⁵
	15.000	17.55	06/03/20	18.75	1.20 W	0.00	8 of 11 - Sale ²⁵
	10.000	11.70	06/03/20	12.50	0.80 W	0.00	9 of 11 - Sale ²⁵
	381.000	445.71	06/03/20	476.32	30.61 W	0.00	10 of 11 - Sale ²⁵
	119.000	139.21	06/03/20	148.77	9.56 W	0.00	11 of 11 - Sale ²⁵
06/04/20	2,197.000	2,570.15	Various	2,701.22	115.25 W	-15.82	Total of 11 transactions
	Security total:	6,994.35		7,375.25	115.25 W	-265.65	
REMARK HOLDINGS, INC. COMMON S TOCK / CUSIP: 75955K102 / Symbol:							
3 transactions for 07/23/20. Total proceeds and cost reported to the IRS.							
	2,000.000	2,840.89	07/22/20	3,100.00	...	-259.11	1 of 3 - Sale ²⁵
	1,777.000	2,524.13	07/22/20	2,754.35	...	-230.22	2 of 3 - Sale ²⁵
	223.000	316.76	07/22/20	374.67	...	-57.91	3 of 3 - Sale ²⁵
07/23/20	4,000.000	5,681.78	Various	6,229.02	...	-547.24	Total of 3 transactions
07/23/20	3,000.000	4,259.54	07/22/20	4,650.00	29.02 W	-361.44	Sale ²⁵
	Security total:	9,941.32		10,879.02	29.02 W	-908.68	
SINTX TECHNOLOGIES, INC. COMMO N STOCK / CUSIP: 829392307 / Symbol:							
07/14/20	3,600.000	6,875.41	07/13/20	7,200.00	324.59 W	0.00	Sale ²⁵
8 transactions for 07/17/20. Total proceeds and cost reported to the IRS.							
	500.000	1,099.92	07/16/20	1,175.00	...	-75.08	1 of 8 - Sale ²⁵
	367.000	807.34	07/16/20	862.45	...	-55.11	2 of 8 - Sale ²⁵
	69.000	151.79	07/16/20	178.73	...	-26.94	3 of 8 - Sale ²⁵
	100.000	219.98	07/16/20	235.00	...	-15.02	4 of 8 - Sale ²⁵
	100.000	219.99	07/16/20	235.00	...	-15.01	5 of 8 - Sale ²⁵
	31.000	68.20	07/16/20	80.30	...	-12.10	6 of 8 - Sale ²⁵
	33.000	72.59	07/16/20	77.55	...	-4.96	7 of 8 - Sale ²⁵
	9.000	19.80	07/16/20	23.31	...	-3.51	8 of 8 - Sale ²⁵
07/17/20	1,209.000	2,659.61	Various	2,867.34	...	-207.73	Total of 8 transactions

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Robinhood Securities LLC

Account 960952398

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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SINTX TECHNOLOGIES, INC. COMMO N STOCK / CUSIP: 829392307 / Symbol: (cont'd)							
12 transactions for 07/17/20. Total proceeds and cost reported to the IRS.							
	1,100.000	2,419.82	07/16/20	2,585.00	62.47 W	-102.71	1 of 12 - Sale ²⁵
	598.000	1,315.50	07/16/20	1,459.22	143.72 W	0.00	2 of 12 - Sale ²⁵
	100.000	219.99	07/16/20	244.02	24.03 W	0.00	3 of 12 - Sale ²⁵
	69.000	151.79	07/16/20	168.37	16.58 W	0.00	4 of 12 - Sale ²⁵
	1,299.000	2,857.58	07/16/20	3,169.77	312.19 W	0.00	5 of 12 - Sale ²⁵
	401.000	882.13	07/16/20	978.51	96.38 W	0.00	6 of 12 - Sale ²⁵
	324.000	712.75	07/16/20	790.61	77.86 W	0.00	7 of 12 - Sale ²⁵
	700.000	1,539.88	07/16/20	1,708.11	168.23 W	0.00	8 of 12 - Sale ²⁵
	100.000	219.98	07/16/20	259.03	39.05 W	0.00	9 of 12 - Sale ²⁵
	598.000	1,315.50	07/16/20	1,549.02	233.52 W	0.00	10 of 12 - Sale ²⁵
	109.000	239.78	07/16/20	265.98	26.20 W	0.00	11 of 12 - Sale ²⁵
	93.000	204.58	07/16/20	218.55	13.97 W	0.00	12 of 12 - Sale ²⁵
07/17/20	5,491.000	12,079.28	Various	13,396.19	1,214.20 W	-102.71	Total of 12 transactions
17 transactions for 08/05/20. Total proceeds and cost reported to the IRS.							
	1,000.000	2,469.82	08/04/20	3,240.33	...	-770.51	1 of 17 - Sale ²⁵
	502.000	1,239.85	08/04/20	1,702.03	...	-462.18	2 of 17 - Sale ²⁵
	401.000	990.40	08/04/20	1,299.38	...	-308.98	3 of 17 - Sale ²⁵
	416.000	1,027.45	08/04/20	1,310.47	...	-283.02	4 of 17 - Sale ²⁵
	300.000	740.94	08/04/20	972.10	...	-231.16	5 of 17 - Sale ²⁵
	255.000	629.80	08/04/20	826.29	...	-196.49	6 of 17 - Sale ²⁵
	240.000	592.76	08/04/20	777.67	...	-184.91	7 of 17 - Sale ²⁵
	190.000	469.26	08/04/20	615.66	...	-146.40	8 of 17 - Sale ²⁵
	134.000	330.96	08/04/20	434.20	...	-103.24	9 of 17 - Sale ²⁵
	96.000	237.11	08/04/20	325.49	...	-88.38	10 of 17 - Sale ²⁵
	96.000	237.11	08/04/20	325.49	...	-88.38	11 of 17 - Sale ²⁵
	110.000	271.68	08/04/20	356.44	...	-84.76	12 of 17 - Sale ²⁵
	109.000	269.21	08/04/20	353.20	...	-83.99	13 of 17 - Sale ²⁵
	93.000	229.69	08/04/20	292.97	...	-63.28	14 of 17 - Sale ²⁵
	50.000	123.50	08/04/20	162.02	...	-38.52	15 of 17 - Sale ²⁵
	4.000	9.88	08/04/20	13.56	...	-3.68	16 of 17 - Sale ²⁵
	4.000	9.88	08/04/20	12.96	...	-3.08	17 of 17 - Sale ²⁵
08/05/20	4,000.000	9,879.30	Various	13,020.26	...	-3,140.96	Total of 17 transactions
	Security total:	31,493.60		36,483.79	1,538.79 W	-3,451.40	

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Account 960952398

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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SUMMIT WIRELESS TECHNOLOGIES, INC. COMMON STOCK / CUSIP: 86633R203 / Symbol:							
5 transactions for 06/03/20. Total proceeds and cost reported to the IRS.							
	8.000	23.64	06/03/20	29.84	6.20 W	0.00	1 of 5 - Sale ²⁵
	151.000	446.17	06/03/20	563.23	117.06 W	0.00	2 of 5 - Sale ²⁵
	2.000	5.91	06/03/20	9.01	3.10 W	0.00	3 of 5 - Sale ²⁵
	6.000	17.73	06/03/20	27.03	9.30 W	0.00	4 of 5 - Sale ²⁵
	83.000	245.25	06/03/20	309.59	64.34 W	0.00	5 of 5 - Sale ²⁵
06/03/20	250.000	738.70	Various	938.70	200.00 W	0.00	Total of 5 transactions
6 transactions for 07/02/20. Total proceeds and cost reported to the IRS.							
	151.000	341.23	07/01/20	449.26	...	-108.03	1 of 6 - Sale ²⁵
	83.000	187.57	07/01/20	246.94	...	-59.37	2 of 6 - Sale ²⁵
	6.000	13.56	07/01/20	22.50	...	-8.94	3 of 6 - Sale ²⁵
	2.000	4.52	07/01/20	7.50	...	-2.98	4 of 6 - Sale ²⁵
	644.000	1,455.33	07/01/20	1,416.80	...	38.53	5 of 6 - Sale ²⁵
	1,614.000	3,647.36	07/01/20	3,550.80	...	96.56	6 of 6 - Sale ²⁵
07/02/20	2,500.000	5,649.57	Various	5,693.80	...	-44.23	Total of 6 transactions
	Security total:	6,388.27		6,632.50	200.00 W	-44.23	
SUNWORKS, INC. COMMON STOCK / CUSIP: 86803X204 / Symbol:							
9 transactions for 07/14/20. Total proceeds and cost reported to the IRS.							
	1,598.000	1,246.22	07/13/20	1,502.34	...	-256.12	1 of 9 - Sale ²⁵
	1,200.000	935.83	07/13/20	1,128.17	...	-192.34	2 of 9 - Sale ²⁵
	502.000	391.49	07/13/20	471.95	...	-80.46	3 of 9 - Sale ²⁵
	500.000	389.93	07/13/20	470.07	...	-80.14	4 of 9 - Sale ²⁵
	500.000	389.93	07/13/20	470.07	...	-80.14	5 of 9 - Sale ²⁵
	300.000	233.96	07/13/20	282.04	...	-48.08	6 of 9 - Sale ²⁵
	250.000	194.97	07/13/20	235.03	...	-40.06	7 of 9 - Sale ²⁵
	100.000	77.99	07/13/20	94.01	...	-16.02	8 of 9 - Sale ²⁵
	50.000	38.99	07/13/20	47.01	...	-8.02	9 of 9 - Sale ²⁵
07/14/20	5,000.000	3,899.31	Various	4,700.69	...	-801.38	Total of 9 transactions
8 transactions for 07/14/20. Total proceeds and cost reported to the IRS.							
	500.000	389.93	07/13/20	430.00	40.07 W	0.00	1 of 8 - Sale ²⁵
	502.000	391.49	07/13/20	431.72	40.23 W	0.00	2 of 8 - Sale ²⁵
	100.000	77.99	07/13/20	86.00	8.01 W	0.00	3 of 8 - Sale ²⁵

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(continued)

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SUNWORKS, INC. COMMON STOCK / CUSIP: 86803X204 / Symbol: (cont'd)							
	50.000	38.99	07/13/20	43.00	4.01 W	0.00	4 of 8 - Sale ²⁵
	1,500.000	1,169.79	07/13/20	1,290.00	120.21 W	0.00	5 of 8 - Sale ²⁵
	250.000	194.97	07/13/20	215.00	20.03 W	0.00	6 of 8 - Sale ²⁵
	500.000	389.93	07/13/20	430.00	40.07 W	0.00	7 of 8 - Sale ²⁵
	1,598.000	1,246.22	07/13/20	1,374.28	128.06 W	0.00	8 of 8 - Sale ²⁵
07/14/20	5,000.000	3,899.31	Various	4,300.00	400.69 W	0.00	Total of 8 transactions
	Security total:	7,798.62		9,000.69	400.69 W	-801.38	
TILRAY, INC. CLASS 2 COMMON ST OCK / CUSIP: 88688T100 / Symbol:							
13 transactions for 07/24/20. Total proceeds and cost reported to the IRS.							
	300.000	2,129.91	07/23/20	2,205.00	...	-75.09	1 of 13 - Sale ²⁵
	300.000	2,129.91	07/23/20	2,205.00	...	-75.09	2 of 13 - Sale ²⁵
	186.000	1,320.54	07/23/20	1,367.10	...	-46.56	3 of 13 - Sale ²⁵
	84.000	596.38	07/23/20	638.43	...	-42.05	4 of 13 - Sale ²⁵
	150.000	1,064.95	07/23/20	1,102.50	...	-37.55	5 of 13 - Sale ²⁵
	150.000	1,064.95	07/23/20	1,102.50	...	-37.55	6 of 13 - Sale ²⁵
	150.000	1,064.95	07/23/20	1,102.50	...	-37.55	7 of 13 - Sale ²⁵
	144.000	1,022.35	07/23/20	1,058.40	...	-36.05	8 of 13 - Sale ²⁵
	40.000	283.99	07/23/20	304.01	...	-20.02	9 of 13 - Sale ²⁵
	40.000	284.00	07/23/20	304.02	...	-20.02	10 of 13 - Sale ²⁵
	40.000	284.00	07/23/20	304.01	...	-20.01	11 of 13 - Sale ²⁵
	30.000	212.99	07/23/20	228.01	...	-15.02	12 of 13 - Sale ²⁵
	26.000	184.59	07/23/20	197.60	...	-13.01	13 of 13 - Sale ²⁵
07/24/20	1,640.000	11,643.51	Various	12,119.08	...	-475.57	Total of 13 transactions
3 transactions for 07/24/20. Total proceeds and cost reported to the IRS.							
	26.000	184.60	07/23/20	191.10	6.50 W	0.00	1 of 3 - Sale ²⁵
	150.000	1,064.95	07/23/20	1,102.50	37.55 W	0.00	2 of 3 - Sale ²⁵
	84.000	596.37	07/23/20	617.40	21.03 W	0.00	3 of 3 - Sale ²⁵
07/24/20	260.000	1,845.92	Various	1,911.00	65.08 W	0.00	Total of 3 transactions
	Security total:	13,489.43		14,030.08	65.08 W	-475.57	

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TONIX PHARMACEUTICALS HOLDING CORP. COMMON STOCK / CUSIP: 890260706 / Symbol:							
3 transactions for 06/18/20. Total proceeds and cost reported to the IRS.							
	800.000	546.37	06/16/20	508.00	...	38.37	1 of 3 - Sale ²⁵
	1,200.000	819.56	06/16/20	762.00	...	57.56	2 of 3 - Sale ²⁵
	1,200.000	819.56	06/16/20	762.00	...	57.56	3 of 3 - Sale ²⁵
06/18/20	3,200.000	2,185.49	Various	2,032.00	...	153.49	Total of 3 transactions
T2 BIOSYSTEMS, INC. COMMON STO CK / CUSIP: 89853L104 / Symbol:							
2 transactions for 06/03/20. Total proceeds and cost reported to the IRS.							
	376.000	500.02	06/02/20	394.80	...	105.22	1 of 2 - Sale ²⁵
	4,624.000	6,149.69	06/02/20	4,855.20	...	1,294.49	2 of 2 - Sale ²⁵
06/03/20	5,000.000	6,649.71	Various	5,250.00	...	1,399.71	Total of 2 transactions
4 transactions for 06/30/20. Total proceeds and cost reported to the IRS.							
	100.000	179.99	06/26/20	140.00	...	39.99	1 of 4 - Sale ²⁵
	500.000	899.92	06/26/20	700.00	...	199.92	2 of 4 - Sale ²⁵
	630.000	1,133.90	06/26/20	882.00	...	251.90	3 of 4 - Sale ²⁵
	4,770.000	8,585.24	06/26/20	6,678.00	...	1,907.24	4 of 4 - Sale ²⁵
06/30/20	6,000.000	10,799.05	Various	8,400.00	...	2,399.05	Total of 4 transactions
07/01/20	6,500.000	12,349.60	06/30/20	10,400.00	...	1,949.60	Sale ²⁵
	Security total:	29,798.36		24,050.00	...	5,748.36	
URBAN ONE, INC. CLASS A COMMON STOCK / CUSIP: 91705J105 / Symbol:							
3 transactions for 06/25/20. Total proceeds and cost reported to the IRS.							
	25.000	556.24	06/24/20	585.75	...	-29.51	1 of 3 - Sale ²⁵
	9.000	200.24	06/24/20	210.87	...	-10.63	2 of 3 - Sale ²⁵
	3.000	66.75	06/24/20	70.29	...	-3.54	3 of 3 - Sale ²⁵
06/25/20	37.000	823.23	Various	866.91	...	-43.68	Total of 3 transactions
URBAN ONE, INC. CLASS D COMMON STOCK / CUSIP: 91705J204 / Symbol:							
5 transactions for 06/19/20. Total proceeds and cost reported to the IRS.							
	27.000	130.67	06/18/20	90.45	...	40.22	1 of 5 - Sale ²⁵
	80.000	387.18	06/18/20	268.00	...	119.18	2 of 5 - Sale ²⁵
	106.000	513.02	06/18/20	355.10	...	157.92	3 of 5 - Sale ²⁵
	182.000	880.84	06/18/20	609.70	...	271.14	4 of 5 - Sale ²⁵

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URBAN ONE, INC. CLASS D COMMON STOCK / CUSIP: 91705J204 / Symbol: (cont'd)							
	300.000	1,451.93	06/18/20	1,005.00	...	446.93	5 of 5 - Sale ²⁵
06/19/20	695.000	3,363.64	Various	2,328.25	...	1,035.39	Total of 5 transactions
06/26/20	2,830.000	6,225.52	06/25/20	6,509.00	...	-283.48	Sale ²⁵
	Security total:	9,589.16		8,837.25	...	751.91	
VISLINK TECHNOLOGIES, INC. COM MON STOCK / CUSIP: 92836Y201 / Symbol:							
06/16/20	5,432.000	4,236.22	06/12/20	4,399.92	...	-163.70	Sale ²⁵
	7 transactions for 06/16/20. Total proceeds and cost reported to the IRS.						
	317.000	247.22	06/05/20	418.44	171.22 W	0.00	1 of 7 - Sale ²⁵
	100.000	77.99	06/05/20	132.00	54.01 W	0.00	2 of 7 - Sale ²⁵
	425.000	331.44	06/05/20	561.00	229.56 W	0.00	3 of 7 - Sale ²⁵
	48.000	37.43	06/05/20	63.36	25.93 W	0.00	4 of 7 - Sale ²⁵
	58.000	45.23	06/05/20	76.56	31.33 W	0.00	5 of 7 - Sale ²⁵
	52.000	40.55	06/05/20	68.64	28.09 W	0.00	6 of 7 - Sale ²⁵
	1,468.000	1,144.84	06/12/20	1,189.08	3.35 W	-40.89	7 of 7 - Sale ²⁵
06/16/20	2,468.000	1,924.70	Various	2,509.08	543.49 W	-40.89	Total of 7 transactions
	8 transactions for 07/10/20. Total proceeds and cost reported to the IRS.						
	317.000	204.68	06/16/20	416.33	...	-211.65	1 of 8 - Sale ²⁵
	231.000	149.14	06/16/20	303.38	...	-154.24	2 of 8 - Sale ²⁵
	194.000	125.26	06/16/20	254.79	...	-129.53	3 of 8 - Sale ²⁵
	100.000	64.57	06/16/20	131.33	...	-66.76	4 of 8 - Sale ²⁵
	58.000	37.45	06/16/20	76.18	...	-38.73	5 of 8 - Sale ²⁵
	52.000	33.57	06/16/20	68.30	...	-34.73	6 of 8 - Sale ²⁵
	48.000	30.99	06/16/20	63.04	...	-32.05	7 of 8 - Sale ²⁵
	111.000	71.67	06/16/20	89.17	...	-17.50	8 of 8 - Sale ²⁵
07/10/20	1,111.000	717.33	Various	1,402.52	...	-685.19	Total of 8 transactions
	Security total:	6,878.25		8,311.52	543.49 W	-889.78	
SEANERGY MARITIME HOLDINGS COR P COMMON STOCK / CUSIP: Y73760301 / Symbol:							
06/24/20	12,000.000	3,718.48	06/23/20	2,880.00	...	838.48	Sale ²⁵
	4 transactions for 06/25/20. Total proceeds and cost reported to the IRS.						
	6,300.000	1,108.02	06/25/20	1,323.00	...	-214.98	1 of 4 - Sale ²⁵
	2,100.000	369.35	06/25/20	441.00	...	-71.65	2 of 4 - Sale ²⁵
	2,100.000	369.35	06/25/20	441.00	...	-71.65	3 of 4 - Sale ²⁵

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

Robinhood Securities LLC

Account 960952398

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
SEANERGY MARITIME HOLDINGS COR P COMMON STOCK / CUSIP: Y73760301 / Symbol: (cont'd)							
	2,000.000	351.76	06/25/20	420.00	...	-68.24	4 of 4 - Sale ²⁵
06/25/20	12,500.000	2,198.48	Various	2,625.00	...	-426.52	Total of 4 transactions
	Security total:	5,916.96		5,505.00	...	411.96	
Totals :		589,200.71		598,781.88	8,488.91 W	-1,092.26	

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

Robinhood Securities LLC

Account 960952398

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
		06/25/20	-5.00	Margin interest paid	
		07/27/20	-5.00	Margin interest paid	
		08/24/20	-5.00	Margin interest paid	
		09/23/20	-5.00	Margin interest paid	
			-20.00	Total Margin interest paid	
			-20.00	Total Margin interest paid	

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

Common Instructions for Recipient

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Instructions for Recipient

(whichever is applicable) as explained in the Instructions for Schedule D (Form 1040 or 1040-SR).

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

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

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

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

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

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

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

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

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

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

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

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

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

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