

<b>Robinhood Securities LLC</b> 500 Colonial Center Parkway Suite 100 Lake Mary, FL 32746 Customer Service: 650-940-2700  PAYER'S TIN: 38-4019216	<b>Tax Information</b> <b>Account 435007638</b>	Statement Date: 02/14/2021 Document ID: HHHS 7U0 DSE1	2020
	Shiva rama raju Chekuri 12468 Lyric Ct St. Louis, MO 63146  RECIPIENT'S TIN: XXX-XX-2283		

**Summary Information**

<p><b>DIVIDENDS AND DISTRIBUTIONS</b>      <b>2020 1099-DIV*</b>      OMB No. 1545-0110</p> <p>1a- Total ordinary dividends (includes lines 1b, 5)      12.11</p> <p>1b- Qualified dividends      8.37</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><b>4- Federal income tax withheld</b>      <b>0.00</b></p> <p>5- Section 199A dividends      0.00</p> <p>6- Investment expenses      0.00</p> <p>8- Foreign country or US possession: See detail      0.55</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 style="text-align: center;"><b>MISCELLANEOUS INCOME</b>      <b>2020 1099-MISC*</b>      OMB No. 1545-0115</p> <p>2- Royalties      0.00</p> <p>3- Other income      0.00</p> <p><b>4- Federal income tax withheld</b>      <b>0.00</b></p> <p>8- Substitute payments in lieu of dividends or interest      0.00</p> <p style="text-align: center;"><b>SECTION 1256 CONTRACTS</b>      <b>2020 1099-B*</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)	157,658.14	158,822.56	0.00	2,424.36	1,259.94
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)	31.89	37.99	0.00	0.00	-6.10
	<b>Total Short-term</b>	<b>157,690.03</b>	<b>158,860.55</b>	<b>0.00</b>	<b>2,424.36</b>	<b>1,253.84</b>
Long	D (basis reported to the IRS)	38.28	207.16	0.00	0.00	-168.88
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)	1.05	3.53	0.00	0.00	-2.48
	<b>Total Long-term</b>	<b>39.33</b>	<b>210.69</b>	<b>0.00</b>	<b>0.00</b>	<b>-171.36</b>
Undetermined	B or E (basis not reported to the IRS)	0.08	0.00	0.00	0.00	0.00
Undetermined	C or F (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
	<b>Total Undetermined-term</b>	<b>0.08</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
	<b>Grand total</b>	<b>157,729.44</b>	<b>159,071.24</b>	<b>0.00</b>	<b>2,424.36</b>	<b>1,082.48</b>

  

Withholding	Amount
Federal income tax withheld	0.00

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

Robinhood Securities LLC

Account 435007638

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

*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	5.24
Other Receipts & Reconciliations- Foreign tax paid- partnership	0.00
Other Receipts & Reconciliations- Return of principal	0.00
Other Receipts & Reconciliations- Deferred income payment	0.00
Other Receipts & Reconciliations- Deemed premium	0.00
Other Receipts & Reconciliations- Income accrual- UIT	0.00
Other Receipts & Reconciliations- Basis adjustments	0.00
Other Receipts & Reconciliations- Foreign tax pd beyond treaty	0.00
Fees & Expenses- Margin interest	0.00
Fees & Expenses- Dividends paid on short position	0.00
Fees & Expenses- Interest paid on short position	0.00
Fees & Expenses- Non reportable distribution expense	0.00
Fees & Expenses- Other expenses	0.08
Fees & Expenses- Severance tax	0.00
Fees & Expenses- Organizational expense	0.00
Fees & Expenses- Miscellaneous fees	0.00
Fees & Expenses- Tax-exempt investment expense	0.00
Foreign Exchange Gains & Losses- Foreign currency gain/loss	0.00

Robinhood Securities LLC

Account 435007638

## 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
ACM RESEARCH, INC. CLASS A COM MON STOCK / CUSIP: 00108J109 / Symbol:							
05/29/20	1.000	57.91	05/20/20	56.34	...	1.57	Sale <sup>25</sup>
06/03/20	1.000	64.52	05/20/20	56.34	...	8.18	Sale <sup>25</sup>
	<b>Security total:</b>	<b>122.43</b>		<b>112.68</b>	...	<b>9.75</b>	
ACASTI PHARMA, INC. CLASS A CO MMON STOCK / CUSIP: 00430K402 / Symbol:							
07/06/20	250.000	160.32	06/24/20	160.00	...	0.32	Sale <sup>25</sup>
ACHIEVE LIFE SCIENCES, INC. CO MMON SHARES / CUSIP: 004468500 / Symbol:							
09/02/20	50.000	387.00	06/29/20	404.70	...	-17.70	Sale <sup>25</sup>
ADVAXIS, INC. COMMON STOCK / CUSIP: 007624307 / Symbol:							
05/20/20	150.000	106.48	05/19/20	108.05	...	-1.57	Sale <sup>25</sup>

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Account 435007638

**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
AGILE THERAPEUTICS, INC. COMMO N STOCK / CUSIP: 00847L100 / Symbol:							
3 transactions for 11/06/20. Total proceeds and cost reported to the IRS.							
	3.000	8.71	01/15/20	8.79	...	-0.08	1 of 3 - Sale <sup>25</sup>
	10.000	29.02	02/12/20	44.00	...	-14.98	2 of 3 - Sale <sup>25</sup>
	7.000	20.31	02/12/20	29.82	...	-9.51	3 of 3 - Sale <sup>25</sup>
11/06/20	20.000	58.04	Various	82.61	...	-24.57	Total of 3 transactions
ALAMOS GOLD INC. CLASS A COMMO N SHARES / CUSIP: 011532108 / Symbol:							
07/29/20	9.000	99.18	04/23/20	69.03	...	30.15	Sale <sup>25</sup>
10/29/20	1.000	9.15	04/23/20	7.67	...	1.48	Sale <sup>25</sup>
	<b>Security total:</b>	<b>108.33</b>		<b>76.70</b>	...	<b>31.63</b>	
AMAZON.COM, INC. COMMON STOCK / CUSIP: 023135106 / Symbol:							
04/13/20	1.000	2,049.95	04/09/20	2,027.00	...	22.95	Sale <sup>25</sup>
2 transactions for 05/06/20. Total proceeds and cost reported to the IRS.							
	0.000	0.81	04/28/20	0.80	...	0.01	1 of 2 - Sale <sup>25</sup>
	0.064	150.61	04/28/20	149.20	...	1.41	2 of 2 - Sale <sup>25</sup>
05/06/20	0.065	151.42	Various	150.00	...	1.42	Total of 2 transactions
	<b>Security total:</b>	<b>2,201.37</b>		<b>2,177.00</b>	...	<b>24.37</b>	
AMERICAN AIRLINES GROUP INC. C OMMON STOCK / CUSIP: 02376R102 / Symbol:							
07/06/20	2.000	24.48	06/11/20	29.42	...	-4.94	Sale <sup>25</sup>
11/04/20	1.000	11.22	06/11/20	14.71	...	-3.49	Sale <sup>25</sup>
	<b>Security total:</b>	<b>35.70</b>		<b>44.13</b>	...	<b>-8.43</b>	
AMERICAN EAGLE OUTFITTERS / CUSIP: 02553E106 / Symbol:							
4 transactions for 04/23/20. Total proceeds and cost reported to the IRS.							
	7.000	48.24	04/22/20	48.65	...	-0.41	1 of 4 - Sale <sup>25</sup>
	0.100	0.69	04/22/20	0.70	...	-0.01	2 of 4 - Sale <sup>25</sup>
	0.900	6.36	04/22/20	6.25	...	0.11	3 of 4 - Sale <sup>25</sup>
	42.000	298.20	04/22/20	291.90	...	6.30	4 of 4 - Sale <sup>25</sup>
04/23/20	50.000	353.49	Various	347.50	...	5.99	Total of 4 transactions

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Account 435007638

## 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
ANGLOGOLD ASHANTI LIMITED / CUSIP: 035128206 / Symbol:							
07/17/20	7.000	225.83	04/13/20	159.10	...	66.73	Sale <sup>25</sup>
	2 transactions for 11/05/20. Total proceeds and cost reported to the IRS.						
	1.000	26.44	04/13/20	22.73	...	3.71	1 of 2 - Sale <sup>25</sup>
	25.000	660.98	08/05/20	835.50	...	-174.52	2 of 2 - Sale <sup>25</sup>
11/05/20	26.000	687.42	Various	858.23	...	-170.81	Total of 2 transactions
	<b>Security total:</b>	<b>913.25</b>		<b>1,017.33</b>	...	<b>-104.08</b>	
APPLE INC. COMMON STOCK / CUSIP: 037833100 / Symbol:							
	2 transactions for 03/24/20. Total proceeds and cost reported to the IRS.						
	1.000	241.28	02/18/20	317.50	76.22 W	0.00	1 of 2 - Sale <sup>25</sup>
	1.000	241.28	03/16/20	250.00	8.72 W	0.00	2 of 2 - Sale <sup>25</sup>
03/24/20	2.000	482.56	Various	567.50	84.94 W	0.00	Total of 2 transactions
03/31/20	1.000	256.99	03/20/20	237.72	...	19.27	Sale <sup>25</sup>
03/31/20	1.000	256.99	03/20/20	305.22	48.23 W	0.00	Sale <sup>25</sup>
	2 transactions for 04/06/20. Total proceeds and cost reported to the IRS.						
	1.000	251.17	04/01/20	295.23	...	-44.06	1 of 2 - Sale <sup>25</sup>
	1.000	251.17	04/01/20	247.00	...	4.17	2 of 2 - Sale <sup>25</sup>
04/06/20	2.000	502.34	Various	542.23	...	-39.89	Total of 2 transactions
09/28/20	2.000	228.63	09/18/20	213.60	...	15.03	Sale <sup>25</sup>
09/28/20	4.000	457.27	09/15/20	462.00	4.73 W	0.00	Sale <sup>25</sup>
	4 transactions for 10/29/20. Total proceeds and cost reported to the IRS.						
	1.000	116.64	09/18/20	107.98	...	8.66	1 of 4 - Sale <sup>25</sup>
	2.000	233.28	09/18/20	215.20	...	18.08	2 of 4 - Sale <sup>25</sup>
	3.000	349.91	09/18/20	325.15	...	24.76	3 of 4 - Sale <sup>25</sup>
	4.000	466.55	09/18/20	428.80	...	37.75	4 of 4 - Sale <sup>25</sup>
10/29/20	10.000	1,166.38	Various	1,077.13	...	89.25	Total of 4 transactions
	<b>Security total:</b>	<b>3,351.16</b>		<b>3,405.40</b>	<b>137.90 W</b>	<b>83.66</b>	
ARVINAS, INC. COMMON STOCK / CUSIP: 04335A105 / Symbol:							
	2 transactions for 06/03/20. Total proceeds and cost reported to the IRS.						
	4.000	134.84	05/29/20	131.20	...	3.64	1 of 2 - Sale <sup>25</sup>
	8.000	269.68	05/29/20	256.40	...	13.28	2 of 2 - Sale <sup>25</sup>
06/03/20	12.000	404.52	Various	387.60	...	16.92	Total of 2 transactions

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## Proceeds from Broker and Barter Exchange Transactions

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

(continued)

02/14/2021

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

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

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
AURORA CANNABIS INC. COMMON SH ARES / CUSIP: 05156X884 / Symbol:							
05/26/20	10.000	157.00	05/19/20	150.50	...	6.50	Sale <sup>25</sup>
07/15/20	5.000	62.90	06/24/20	69.70	...	-6.80	Sale <sup>25</sup>
	<b>Security total:</b>	<b>219.90</b>		<b>220.20</b>	...	<b>-0.30</b>	
AVINO SILVER & GOLD MINES LTD. (CANADA) / CUSIP: 053906103 / Symbol:							
<i>5 transactions for 08/25/20. Total proceeds and cost reported to the IRS.</i>							
	250.000	273.64	04/13/20	97.25	...	176.39	1 of 5 - Sale <sup>25</sup>
	100.000	109.46	05/20/20	65.79	...	43.67	2 of 5 - Sale <sup>25</sup>
	249.000	272.54	07/15/20	196.71	...	75.83	3 of 5 - Sale <sup>25</sup>
	251.000	274.73	07/15/20	198.29	...	76.44	4 of 5 - Sale <sup>25</sup>
	450.000	492.55	08/04/20	540.00	...	-47.45	5 of 5 - Sale <sup>25</sup>
08/25/20	1,300.000	1,422.92	Various	1,098.04	...	324.88	Total of 5 transactions
09/18/20	50.000	55.25	08/04/20	60.00	...	-4.75	Sale <sup>25</sup>
	<b>Security total:</b>	<b>1,478.17</b>		<b>1,158.04</b>	...	<b>320.13</b>	
BALLARD POWER SYSTEMS, INC. CO MMON SHARES / CUSIP: 058586108 / Symbol:							
07/27/20	40.000	616.18	07/24/20	637.60	...	-21.42	Sale <sup>25</sup>
BARRICK GOLD CORP. / CUSIP: 067901108 / Symbol:							
07/06/20	8.000	212.00	04/13/20	194.96	...	17.04	Sale <sup>25</sup>
BIO-KEY INTERNATIONAL, INC. CO MMON STOCK / CUSIP: 09060C309 / Symbol:							
<i>2 transactions for 11/03/20. Total proceeds and cost reported to the IRS.</i>							
	200.000	79.98	07/29/20	138.00	...	-58.02	1 of 2 - Sale <sup>25</sup>
	50.000	20.00	07/29/20	34.50	...	-14.50	2 of 2 - Sale <sup>25</sup>
11/03/20	250.000	99.98	Various	172.50	...	-72.52	Total of 2 transactions
BIOCEPT, INC. COMMON STOCK / CUSIP: 09072V402 / Symbol:							
04/13/20	60.000	35.99	03/10/20	21.17	...	14.82	Sale <sup>25</sup>
<i>6 transactions for 06/15/20. Total proceeds and cost reported to the IRS.</i>							
	20.000	13.40	03/10/20	7.06	...	6.34	1 of 6 - Sale <sup>25</sup>
	40.000	26.79	03/10/20	14.11	...	12.68	2 of 6 - Sale <sup>25</sup>
	200.000	133.98	06/09/20	108.00	...	25.98	3 of 6 - Sale <sup>25</sup>
	200.000	133.98	06/09/20	108.00	...	25.98	4 of 6 - Sale <sup>25</sup>
	200.000	133.98	06/09/20	108.00	...	25.98	5 of 6 - Sale <sup>25</sup>

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Robinhood Securities LLC

Account 435007638

## Proceeds from Broker and Barter Exchange Transactions

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

(continued)

02/14/2021

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

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1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
BIOCEPT, INC. COMMON STOCK / CUSIP: 09072V402 / Symbol: (cont'd)							
06/15/20	255.000	170.82	06/09/20	137.70	...	33.12	6 of 6 - Sale <sup>25</sup>
	915.000	612.95	Various	482.87	...	130.08	Total of 6 transactions
	2 transactions for 06/29/20. Total proceeds and cost reported to the IRS.						
	1.000	0.73	06/15/20	0.69	...	0.04	1 of 2 - Sale <sup>25</sup>
	249.000	181.74	06/23/20	171.81	...	9.93	2 of 2 - Sale <sup>25</sup>
06/29/20	250.000	182.47	Various	172.50	...	9.97	Total of 2 transactions
	4 transactions for 07/28/20. Total proceeds and cost reported to the IRS.						
	1.000	0.69	06/23/20	0.69	...	0.00	1 of 4 - Sale <sup>25</sup>
	76.000	52.77	07/02/20	50.92	...	1.85	2 of 4 - Sale <sup>25</sup>
	119.000	82.63	07/02/20	79.73	...	2.90	3 of 4 - Sale <sup>25</sup>
	155.000	107.61	07/02/20	103.85	...	3.76	4 of 4 - Sale <sup>25</sup>
07/28/20	351.000	243.70	Various	235.19	...	8.51	Total of 4 transactions
	6 transactions for 07/28/20. Total proceeds and cost reported to the IRS.						
	60.000	41.66	07/09/20	42.77	1.11 W	0.00	1 of 6 - Sale <sup>25</sup>
	209.000	145.10	07/21/20	145.57	0.47 W	0.00	2 of 6 - Sale <sup>25</sup>
	60.000	41.66	07/21/20	42.90	1.24 W	0.00	3 of 6 - Sale <sup>25</sup>
	131.000	90.95	07/21/20	91.24	0.29 W	0.00	4 of 6 - Sale <sup>25</sup>
	109.000	75.67	07/21/20	76.16	0.49 W	0.00	5 of 6 - Sale <sup>25</sup>
	80.000	55.54	07/21/20	55.90	0.36 W	0.00	6 of 6 - Sale <sup>25</sup>
07/28/20	649.000	450.58	Various	454.54	3.96 W	0.00	Total of 6 transactions
	11 transactions for 07/30/20. Total proceeds and cost reported to the IRS.						
	11.000	8.18	07/21/20	7.69	...	0.49	1 of 11 - Sale <sup>25</sup>
	9.000	6.70	07/29/20	6.10	...	0.60	2 of 11 - Sale <sup>25</sup>
	60.000	44.64	07/29/20	41.79	...	2.85	3 of 11 - Sale <sup>25</sup>
	80.000	59.52	07/29/20	54.42	...	5.10	4 of 11 - Sale <sup>25</sup>
	100.000	74.40	07/29/20	67.58	...	6.82	5 of 11 - Sale <sup>25</sup>
	109.000	81.09	07/29/20	74.15	...	6.94	6 of 11 - Sale <sup>25</sup>
	111.000	82.58	07/29/20	75.02	...	7.56	7 of 11 - Sale <sup>25</sup>
	131.000	97.46	07/29/20	88.82	...	8.64	8 of 11 - Sale <sup>25</sup>
	400.000	297.58	07/29/20	270.32	...	27.26	9 of 11 - Sale <sup>25</sup>
	491.000	365.28	07/29/20	331.82	...	33.46	10 of 11 - Sale <sup>25</sup>
	498.000	370.49	07/29/20	336.55	...	33.94	11 of 11 - Sale <sup>25</sup>
07/30/20	2,000.000	1,487.92	Various	1,354.26	...	133.66	Total of 11 transactions

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Robinhood Securities LLC

Account 435007638

**Proceeds from Broker and Barter Exchange Transactions**

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

(continued)

02/14/2021

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BIOCEPT, INC. COMMON STOCK / CUSIP: 09072V402 / Symbol: (cont'd)							
2 transactions for 08/05/20. Total proceeds and cost reported to the IRS.							
	11.000	9.13	07/29/20	7.43	...	1.70	1 of 2 - Sale <sup>25</sup>
	1,289.000	1,069.69	08/04/20	995.75	...	73.94	2 of 2 - Sale <sup>25</sup>
08/05/20	1,300.000	1,078.82	Various	1,003.18	...	75.64	Total of 2 transactions
12 transactions for 08/18/20. Total proceeds and cost reported to the IRS.							
	11.000	9.81	08/04/20	8.50	...	1.31	1 of 12 - Sale <sup>25</sup>
	1.000	0.89	08/17/20	0.87	...	0.02	2 of 12 - Sale <sup>25</sup>
	1.000	0.89	08/17/20	0.81	...	0.08	3 of 12 - Sale <sup>25</sup>
	11.000	9.81	08/17/20	8.84	...	0.97	4 of 12 - Sale <sup>25</sup>
	61.000	54.41	08/17/20	48.99	...	5.42	5 of 12 - Sale <sup>25</sup>
	87.000	77.59	08/17/20	69.86	...	7.73	6 of 12 - Sale <sup>25</sup>
	87.000	77.59	08/17/20	69.86	...	7.73	7 of 12 - Sale <sup>25</sup>
	100.000	89.19	08/17/20	80.30	...	8.89	8 of 12 - Sale <sup>25</sup>
	100.000	89.19	08/17/20	80.30	...	8.89	9 of 12 - Sale <sup>25</sup>
	137.000	122.19	08/17/20	110.01	...	12.18	10 of 12 - Sale <sup>25</sup>
	211.000	188.18	08/17/20	169.43	...	18.75	11 of 12 - Sale <sup>25</sup>
	299.000	266.67	08/17/20	240.10	...	26.57	12 of 12 - Sale <sup>25</sup>
08/18/20	1,106.000	986.41	Various	887.87	...	98.54	Total of 12 transactions
5 transactions for 08/18/20. Total proceeds and cost reported to the IRS.							
	1.000	0.89	08/06/20	1.08	0.19 W	0.00	1 of 5 - Sale <sup>25</sup>
	1.000	0.89	08/06/20	1.05	0.16 W	0.00	2 of 5 - Sale <sup>25</sup>
	1.000	0.89	08/17/20	0.99	0.10 W	0.00	3 of 5 - Sale <sup>25</sup>
	1.000	0.89	08/17/20	0.96	0.07 W	0.00	4 of 5 - Sale <sup>25</sup>
	1.000	0.89	08/17/20	0.90	0.01 W	0.00	5 of 5 - Sale <sup>25</sup>
08/18/20	5.000	4.45	Various	4.98	0.53 W	0.00	Total of 5 transactions
	<b>Security total:</b>	<b>5,083.29</b>		<b>4,616.56</b>	<b>4.49 W</b>	<b>471.22</b>	
BIOCEPT, INC. COMMON STOCK / CUSIP: 09072V501 / Symbol:							
09/14/20	60.000	241.79	08/18/20	486.00	...	-244.21	Sale <sup>25</sup>
11/04/20	60.000	272.39	08/18/20	486.00	...	-213.61	Sale <sup>25</sup>
	<b>Security total:</b>	<b>514.18</b>		<b>972.00</b>	...	<b>-457.82</b>	

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Account 435007638

## Proceeds from Broker and Barter Exchange Transactions

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

(continued)

02/14/2021

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BIOFRONTERA AG AMERICAN DEPOSITARY SHARES / CUSIP: 09075G105 / Symbol:							
3 transactions for 08/11/20. Total proceeds and cost reported to the IRS.							
	1.000	12.99	08/05/20	29.00	...	-16.01	1 of 3 - Sale <sup>25</sup>
	1.000	12.99	08/05/20	25.00	...	-12.01	2 of 3 - Sale <sup>25</sup>
	1.000	12.99	08/05/20	25.00	...	-12.01	3 of 3 - Sale <sup>25</sup>
08/11/20	3.000	38.97	Various	79.00	...	-40.03	Total of 3 transactions
BLINK CHARGING CO. COMMON STOCK / CUSIP: 09354A100 / Symbol:							
4 transactions for 06/30/20. Total proceeds and cost reported to the IRS.							
	3.000	17.34	06/29/20	14.49	...	2.85	1 of 4 - Sale <sup>25</sup>
	3.000	17.34	06/29/20	14.49	...	2.85	2 of 4 - Sale <sup>25</sup>
	9.000	52.02	06/29/20	43.47	...	8.55	3 of 4 - Sale <sup>25</sup>
	50.000	288.99	06/29/20	220.00	...	68.99	4 of 4 - Sale <sup>25</sup>
06/30/20	65.000	375.69	Various	292.45	...	83.24	Total of 4 transactions
06/30/20	35.000	202.28	06/30/20	217.35	15.07 W	0.00	Sale <sup>25</sup>
2 transactions for 07/01/20. Total proceeds and cost reported to the IRS.							
	43.000	194.79	06/30/20	267.03	72.24 W	0.00	1 of 2 - Sale <sup>25</sup>
	1.000	4.53	06/30/20	6.64	2.11 W	0.00	2 of 2 - Sale <sup>25</sup>
07/01/20	44.000	199.32	Various	273.67	74.35 W	0.00	Total of 2 transactions
4 transactions for 07/06/20. Total proceeds and cost reported to the IRS.							
	1.000	7.92	06/30/20	6.64	...	1.28	1 of 4 - Sale <sup>25</sup>
	3.000	23.76	07/02/20	21.78	...	1.98	2 of 4 - Sale <sup>25</sup>
	9.000	71.37	07/02/20	65.34	...	6.03	3 of 4 - Sale <sup>25</sup>
	32.000	253.76	07/02/20	192.34	...	61.42	4 of 4 - Sale <sup>25</sup>
07/06/20	45.000	356.81	Various	286.10	...	70.71	Total of 4 transactions
4 transactions for 07/28/20. Total proceeds and cost reported to the IRS.							
	1.000	7.70	07/02/20	6.01	...	1.69	1 of 4 - Sale <sup>25</sup>
	31.000	238.69	07/06/20	296.98	...	-58.29	2 of 4 - Sale <sup>25</sup>
	27.000	207.90	07/06/20	213.30	...	-5.40	3 of 4 - Sale <sup>25</sup>
	1.000	7.70	07/06/20	10.01	...	-2.31	4 of 4 - Sale <sup>25</sup>
07/28/20	60.000	461.99	Various	526.30	...	-64.31	Total of 4 transactions
11/05/20	1.000	9.80	07/06/20	7.90	...	1.90	Sale <sup>25</sup>
	<b>Security total:</b>	<b>1,605.89</b>		<b>1,603.77</b>	<b>89.42 W</b>	<b>91.54</b>	

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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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BLUEPRINT MEDICINES CORPORATIO N COMMON STOCK / CUSIP: 09627Y109 / Symbol:							
07/09/20	1.000	78.38	04/28/20	58.80	...	19.58	Sale <sup>25</sup>
B2GOLD CORP. / CUSIP: 11777Q209 / Symbol:							
<i>4 transactions for 07/17/20. Total proceeds and cost reported to the IRS.</i>							
	5.000	30.65	04/13/20	22.70	...	7.95	1 of 4 - Sale <sup>25</sup>
	15.000	91.95	04/13/20	68.10	...	23.85	2 of 4 - Sale <sup>25</sup>
	1.000	6.13	05/08/20	5.56	...	0.57	3 of 4 - Sale <sup>25</sup>
	4.000	24.52	05/08/20	22.24	...	2.28	4 of 4 - Sale <sup>25</sup>
07/17/20	25.000	153.25	Various	118.60	...	34.65	Total of 4 transactions
<i>4 transactions for 07/29/20. Total proceeds and cost reported to the IRS.</i>							
	1.000	6.77	05/08/20	5.56	...	1.21	1 of 4 - Sale <sup>25</sup>
	4.000	27.08	07/24/20	26.08	...	1.00	2 of 4 - Sale <sup>25</sup>
	26.000	176.01	07/24/20	169.52	...	6.49	3 of 4 - Sale <sup>25</sup>
	99.000	670.21	07/24/20	645.48	...	24.73	4 of 4 - Sale <sup>25</sup>
07/29/20	130.000	880.07	Various	846.64	...	33.43	Total of 4 transactions
<i>3 transactions for 08/24/20. Total proceeds and cost reported to the IRS.</i>							
	140.000	873.56	08/11/20	901.33	...	-27.77	1 of 3 - Sale <sup>25</sup>
	8.000	49.92	08/11/20	51.51	...	-1.59	2 of 3 - Sale <sup>25</sup>
	1.000	6.24	08/11/20	6.72	...	-0.48	3 of 3 - Sale <sup>25</sup>
08/24/20	149.000	929.72	Various	959.56	...	-29.84	Total of 3 transactions
08/24/20	1.000	6.24	07/24/20	6.52	0.28 W	0.00	Sale <sup>25</sup>
10/29/20	1.000	6.21	08/11/20	6.44	...	-0.23	Sale <sup>25</sup>
	<b>Security total:</b>	<b>1,975.49</b>		<b>1,937.76</b>	<b>0.28 W</b>	<b>38.01</b>	
CNX MIDSTREAM PARTNERS LP / CUSIP: 12654A101 / Symbol:							
07/06/20	11.000	70.95	04/27/20	87.89	...	-16.94	Sale <sup>25</sup>
CAMECO CORPORATION / CUSIP: 13321L108 / Symbol:							
07/06/20	10.000	103.80	04/13/20	91.30	...	12.50	Sale <sup>25</sup>

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**Proceeds from Broker and Barter Exchange Transactions**

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

(continued)

02/14/2021

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CARNIVAL CORPORATION / CUSIP: 143658300 / Symbol:							
<i>2 transactions for 04/24/20. Total proceeds and cost reported to the IRS.</i>							
	5.000	60.60	04/08/20	58.50	...	2.10	1 of 2 - Sale <sup>25</sup>
	10.000	121.20	04/09/20	129.80	...	-8.60	2 of 2 - Sale <sup>25</sup>
04/24/20	15.000	181.80	Various	188.30	...	-6.50	Total of 2 transactions
CATERPILLAR INC. / CUSIP: 149123101 / Symbol:							
04/22/20	1.000	110.94	04/15/20	110.35	...	0.59	Sale <sup>25</sup>
04/24/20	4.000	446.40	04/15/20	441.40	...	5.00	Sale <sup>25</sup>
<i>2 transactions for 05/18/20. Total proceeds and cost reported to the IRS.</i>							
	1.000	114.00	05/12/20	105.00	...	9.00	1 of 2 - Sale <sup>25</sup>
	3.000	342.00	05/12/20	315.00	...	27.00	2 of 2 - Sale <sup>25</sup>
05/18/20	4.000	456.00	Various	420.00	...	36.00	Total of 2 transactions
	<b>Security total:</b>	<b>1,013.34</b>		<b>971.75</b>	...	<b>41.59</b>	
CHEWY, INC. / CUSIP: 16679L109 / Symbol:							
<i>2 transactions for 07/02/20. Total proceeds and cost reported to the IRS.</i>							
	4.000	188.32	06/23/20	195.48	...	-7.16	1 of 2 - Sale <sup>25</sup>
	1.000	47.08	06/23/20	48.87	...	-1.79	2 of 2 - Sale <sup>25</sup>
07/02/20	5.000	235.40	Various	244.35	...	-8.95	Total of 2 transactions
CLEANSPARK, INC. COMMON STOCK / CUSIP: 18452B209 / Symbol:							
<i>2 transactions for 07/06/20. Total proceeds and cost reported to the IRS.</i>							
	38.000	98.80	06/30/20	100.70	...	-1.90	1 of 2 - Sale <sup>25</sup>
	12.000	31.20	06/30/20	31.80	...	-0.60	2 of 2 - Sale <sup>25</sup>
07/06/20	50.000	130.00	Various	132.50	...	-2.50	Total of 2 transactions
CLOVIS ONCOLOGY, INC. COMMON S TOCK / CUSIP: 189464100 / Symbol:							
<i>2 transactions for 06/30/20. Total proceeds and cost reported to the IRS.</i>							
	13.000	87.75	05/19/20	99.58	...	-11.83	1 of 2 - Sale <sup>25</sup>
	7.000	47.11	05/19/20	53.62	...	-6.51	2 of 2 - Sale <sup>25</sup>
06/30/20	20.000	134.86	Various	153.20	...	-18.34	Total of 2 transactions
COGNIZANT TECHNOLOGY SOLUTIONS CORPORATION CLASS A COMMON ST OCK / CUSIP: 192446102 / Symbol:							
03/24/20	3.000	137.10	03/19/20	135.00	...	2.10	Sale <sup>25</sup>

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## Proceeds from Broker and Barter Exchange Transactions

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(continued)

02/14/2021

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CORTEVA, INC. COMMON STOCK / CUSIP: 22052L104 / Symbol:							
01/15/20	1.000	28.70	09/06/19	28.35	...	0.35	Sale <sup>25</sup>
03/17/20	5.000	114.80	03/16/20	103.50	...	11.30	Sale <sup>25</sup>
	<b>Security total:</b>	<b>143.50</b>		<b>131.85</b>	...	<b>11.65</b>	
CRYOPORT, INC. COMMON STOCK / CUSIP: 229050307 / Symbol:							
<i>2 transactions for 05/29/20. Total proceeds and cost reported to the IRS.</i>							
	1.000	24.34	05/20/20	20.96	...	3.38	1 of 2 - Sale <sup>25</sup>
	7.000	170.38	05/20/20	147.70	...	22.68	2 of 2 - Sale <sup>25</sup>
05/29/20	8.000	194.72	Various	168.66	...	26.06	Total of 2 transactions
CYTOKINETICS, INCORPORATED COMMON STOCK / CUSIP: 23282W605 / Symbol:							
<i>2 transactions for 10/19/20. Total proceeds and cost reported to the IRS.</i>							
	7.000	117.68	10/08/20	109.90	...	7.78	1 of 2 - Sale <sup>25</sup>
	42.000	706.10	10/08/20	659.40	...	46.70	2 of 2 - Sale <sup>25</sup>
10/19/20	49.000	823.78	Various	769.30	...	54.48	Total of 2 transactions
11/04/20	1.000	17.17	10/08/20	15.70	...	1.47	Sale <sup>25</sup>
	<b>Security total:</b>	<b>840.95</b>		<b>785.00</b>	...	<b>55.95</b>	
DXC TECHNOLOGY COMPANY / CUSIP: 23355L106 / Symbol:							
<i>2 transactions for 06/03/20. Total proceeds and cost reported to the IRS.</i>							
	4.000	70.16	05/29/20	58.40	...	11.76	1 of 2 - Sale <sup>25</sup>
	6.000	105.24	05/29/20	87.60	...	17.64	2 of 2 - Sale <sup>25</sup>
06/03/20	10.000	175.40	Various	146.00	...	29.40	Total of 2 transactions
<i>2 transactions for 07/02/20. Total proceeds and cost reported to the IRS.</i>							
	1.000	16.20	06/24/20	15.27	...	0.93	1 of 2 - Sale <sup>25</sup>
	9.000	145.80	06/24/20	137.43	...	8.37	2 of 2 - Sale <sup>25</sup>
07/02/20	10.000	162.00	Various	152.70	...	9.30	Total of 2 transactions
	<b>Security total:</b>	<b>337.40</b>		<b>298.70</b>	...	<b>38.70</b>	

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Robinhood Securities LLC

Account 435007638

**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
DELTA AIR LINES, INC. / CUSIP: 247361702 / Symbol:							
2 transactions for 04/13/20. Total proceeds and cost reported to the IRS.							
	1.000	23.00	04/08/20	22.80	...	0.20	1 of 2 - Sale <sup>25</sup>
	4.000	92.00	04/08/20	91.20	...	0.80	2 of 2 - Sale <sup>25</sup>
04/13/20	5.000	115.00	Various	114.00	...	1.00	Total of 2 transactions
04/20/20	20.000	477.00	04/15/20	468.00	...	9.00	Sale <sup>25</sup>
04/22/20	5.000	114.00	04/21/20	114.50	0.50 W	0.00	Sale <sup>25</sup>
04/24/20	5.000	112.00	04/23/20	113.75	1.75 W	0.00	Sale <sup>25</sup>
05/07/20	10.000	220.70	05/05/20	218.30	...	2.40	Sale <sup>25</sup>
05/07/20	5.000	110.35	05/05/20	110.90	0.55 W	0.00	Sale <sup>25</sup>
2 transactions for 05/14/20. Total proceeds and cost reported to the IRS.							
	1.000	19.03	05/13/20	19.20	...	-0.17	1 of 2 - Sale <sup>25</sup>
	5.000	96.45	05/13/20	96.00	...	0.45	2 of 2 - Sale <sup>25</sup>
05/14/20	6.000	115.48	Various	115.20	...	0.28	Total of 2 transactions
4 transactions for 05/14/20. Total proceeds and cost reported to the IRS.							
	13.000	247.39	05/13/20	249.60	1.70 W	-0.51	1 of 4 - Sale <sup>25</sup>
	1.000	19.03	05/13/20	19.31	0.28 W	0.00	2 of 4 - Sale <sup>25</sup>
	1.000	19.03	05/13/20	19.48	0.45 W	0.00	3 of 4 - Sale <sup>25</sup>
	4.000	76.12	05/13/20	77.24	1.12 W	0.00	4 of 4 - Sale <sup>25</sup>
05/14/20	19.000	361.57	Various	365.63	3.55 W	-0.51	Total of 4 transactions
3 transactions for 06/30/20. Total proceeds and cost reported to the IRS.							
	10.000	284.00	06/04/20	315.70	...	-31.70	1 of 3 - Sale <sup>25</sup>
	4.000	113.60	06/04/20	126.72	...	-13.12	2 of 3 - Sale <sup>25</sup>
	1.000	28.40	06/04/20	31.85	...	-3.45	3 of 3 - Sale <sup>25</sup>
06/30/20	15.000	426.00	Various	474.27	...	-48.27	Total of 3 transactions
	<b>Security total:</b>	<b>2,052.10</b>		<b>2,094.55</b>	<b>6.35 W</b>	<b>-36.10</b>	
DIFFUSION PHARMACEUTICALS INC. COMMON STOCK / CUSIP: 253748305 / Symbol:							
2 transactions for 07/30/20. Total proceeds and cost reported to the IRS.							
	267.000	309.69	07/29/20	311.06	...	-1.37	1 of 2 - Sale <sup>25</sup>
	233.000	270.25	07/29/20	271.44	...	-1.19	2 of 2 - Sale <sup>25</sup>
07/30/20	500.000	579.94	Various	582.50	...	-2.56	Total of 2 transactions
2 transactions for 07/31/20. Total proceeds and cost reported to the IRS.							
	400.000	457.95	07/29/20	466.00	...	-8.05	1 of 2 - Sale <sup>25</sup>

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Robinhood Securities LLC

Account 435007638

## 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
DIFFUSION PHARMACEUTICALS INC. COMMON STOCK / CUSIP: 253748305 / Symbol: (cont'd)							
	100.000	114.49	07/29/20	116.50	...	-2.01	2 of 2 - Sale <sup>25</sup>
07/31/20	500.000	572.44	Various	582.50	...	-10.06	Total of 2 transactions
	<b>Security total:</b>	<b>1,152.38</b>		<b>1,165.00</b>	...	<b>-12.62</b>	
DIREXION DAILY JUNIOR GOLD MIN ERS INDEX BULL 2X SHARES / CUSIP: 25460E166 / Symbol:							
04/22/20	10.000	74.00	04/20/20	68.00	...	6.00	Sale <sup>25</sup>
DIREXION DAILY S&P BIOTECH BEA R 3X SHARES / CUSIP: 25460E539 / Symbol:							
05/01/20	2.000	14.70	04/22/20	13.68	...	1.02	Sale <sup>25</sup>
06/24/20	50.000	176.51	06/22/20	182.93	...	-6.42	Sale <sup>25</sup>
	2 transactions for 07/02/20. Total proceeds and cost reported to the IRS.						
	47.000	157.92	06/22/20	171.95	...	-14.03	1 of 2 - Sale <sup>25</sup>
	3.000	10.08	06/22/20	10.98	...	-0.90	2 of 2 - Sale <sup>25</sup>
07/02/20	50.000	168.00	Various	182.93	...	-14.93	Total of 2 transactions
	<b>Security total:</b>	<b>359.21</b>		<b>379.54</b>	...	<b>-20.33</b>	
DIREXION DAILY JUNIOR GOLD MIN ERS INDEX BEAR 2X SHARES / CUSIP: 25460G807 / Symbol:							
05/08/20	8.000	196.00	04/13/20	271.98	...	-75.98	Sale <sup>25</sup>
06/24/20	25.000	488.85	06/22/20	474.15	...	14.70	Sale <sup>25</sup>
10/19/20	46.000	465.04	10/08/20	496.80	...	-31.76	Sale <sup>25</sup>
10/19/20	14.000	141.53	10/08/20	150.85	2.66 W	-6.66	Sale <sup>25</sup>
10/22/20	4.000	42.72	10/08/20	45.86	...	-3.14	Sale <sup>25</sup>
	<b>Security total:</b>	<b>1,334.14</b>		<b>1,439.64</b>	<b>2.66 W</b>	<b>-102.84</b>	
DIREXION DAILY JUNIOR GOLD MIN ERS INDEX BULL 2X SHARES / CUSIP: 25460G831 / Symbol:							
04/23/20	1.000	80.75	04/23/20	85.00	4.25 W	0.00	Sale <sup>25</sup>
	2 transactions for 06/22/20. Total proceeds and cost reported to the IRS.						
	1.000	99.00	05/07/20	92.49	...	6.51	1 of 2 - Sale <sup>25</sup>
	7.000	692.98	05/07/20	617.68	...	75.30	2 of 2 - Sale <sup>25</sup>
06/22/20	8.000	791.98	Various	710.17	...	81.81	Total of 2 transactions
	2 transactions for 10/09/20. Total proceeds and cost reported to the IRS.						
	3.000	422.81	06/24/20	292.19	...	130.62	1 of 2 - Sale <sup>25</sup>
	3.000	422.81	09/23/20	379.98	...	42.83	2 of 2 - Sale <sup>25</sup>
10/09/20	6.000	845.62	Various	672.17	...	173.45	Total of 2 transactions

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Robinhood Securities LLC

Account 435007638

## Proceeds from Broker and Barter Exchange Transactions

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

(continued)

02/14/2021

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1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
DIREXION DAILY JUNIOR GOLD MIN ERS INDEX BULL 2X SHARES / CUSIP: 25460G831 / Symbol: (cont'd)							
10/09/20	4.000	563.74	08/11/20	567.00	3.26 W	0.00	Sale <sup>25</sup>
10/19/20	2.000	280.45	09/23/20	254.95	...	25.50	Sale <sup>25</sup>
	2 transactions for 10/28/20. Total proceeds and cost reported to the IRS.						
	2.000	246.30	10/22/20	267.63	...	-21.33	1 of 2 - Sale <sup>25</sup>
	1.000	123.15	10/22/20	133.00	...	-9.85	2 of 2 - Sale <sup>25</sup>
10/28/20	3.000	369.45	Various	400.63	...	-31.18	Total of 2 transactions
	<b>Security total:</b>	<b>2,931.99</b>		<b>2,689.92</b>	<b>7.51 W</b>	<b>249.58</b>	
DIREXION DAILY S&P BIOTECH BUL L 3X SHARES / CUSIP: 25490K323 / Symbol:							
04/24/20	2.000	78.00	04/22/20	76.66	...	1.34	Sale <sup>25</sup>
DRAFTKINGS INC. CLASS A COMMON STOCK / CUSIP: 26142R104 / Symbol:							
07/15/20	8.000	258.64	06/23/20	305.60	...	-46.96	Sale <sup>25</sup>
10/28/20	20.000	760.98	10/09/20	1,014.80	...	-253.82	Sale <sup>25</sup>
	<b>Security total:</b>	<b>1,019.62</b>		<b>1,320.40</b>	...	<b>-300.78</b>	
DYNAVAX TECHNOLOGIES CORPORATI ON COMMON STOCK / CUSIP: 268158201 / Symbol:							
	6 transactions for 07/28/20. Total proceeds and cost reported to the IRS.						
	20.000	174.22	04/20/20	72.00	...	102.22	1 of 6 - Sale <sup>25</sup>
	45.000	391.99	06/01/20	324.45	...	67.54	2 of 6 - Sale <sup>25</sup>
	9.000	78.40	07/14/20	77.67	...	0.73	3 of 6 - Sale <sup>25</sup>
	20.000	174.22	07/17/20	223.00	...	-48.78	4 of 6 - Sale <sup>25</sup>
	10.000	87.11	07/21/20	103.40	...	-16.29	5 of 6 - Sale <sup>25</sup>
	146.000	1,271.80	07/24/20	1,351.96	...	-80.16	6 of 6 - Sale <sup>25</sup>
07/28/20	250.000	2,177.74	Various	2,152.48	...	25.26	Total of 6 transactions
07/28/20	30.000	261.33	07/08/20	286.50	3.36 W	-21.81	Sale <sup>25</sup>
09/18/20	3.000	16.35	07/24/20	30.30	...	-13.95	Sale <sup>25</sup>
10/29/20	1.000	3.90	07/24/20	10.10	...	-6.20	Sale <sup>25</sup>
	<b>Security total:</b>	<b>2,459.32</b>		<b>2,479.38</b>	<b>3.36 W</b>	<b>-16.70</b>	
EASTMAN KODAK COMPANY / CUSIP: 277461406 / Symbol:							
	10 transactions for 07/28/20. Total proceeds and cost reported to the IRS.						
	8.000	88.88	07/28/20	74.32	...	14.56	1 of 10 - Sale <sup>25</sup>
	8.000	88.88	07/28/20	69.36	...	19.52	2 of 10 - Sale <sup>25</sup>

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Account 435007638

## 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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EASTMAN KODAK COMPANY / CUSIP: 277461406 / Symbol: (cont'd)							
	8.000	88.88	07/28/20	69.36	...	19.52	3 of 10 - Sale <sup>25</sup>
	8.000	89.04	07/28/20	69.36	...	19.68	4 of 10 - Sale <sup>25</sup>
	27.000	299.96	07/28/20	234.10	...	65.86	5 of 10 - Sale <sup>25</sup>
	42.000	466.60	07/28/20	364.14	...	102.46	6 of 10 - Sale <sup>25</sup>
	42.000	467.44	07/28/20	364.15	...	103.29	7 of 10 - Sale <sup>25</sup>
	50.000	556.48	07/28/20	433.52	...	122.96	8 of 10 - Sale <sup>25</sup>
	65.000	726.02	07/28/20	563.57	...	162.45	9 of 10 - Sale <sup>25</sup>
	92.000	1,022.08	07/28/20	797.67	...	224.41	10 of 10 - Sale <sup>25</sup>
07/28/20	350.000	3,894.26	Various	3,039.55	...	854.71	Total of 10 transactions
	7 transactions for 07/28/20. Total proceeds and cost reported to the IRS.						
	8.000	68.16	07/28/20	73.12	4.96 W	0.00	1 of 7 - Sale <sup>25</sup>
	92.000	783.81	07/28/20	840.88	57.07 W	0.00	2 of 7 - Sale <sup>25</sup>
	8.000	68.16	07/28/20	78.08	9.92 W	0.00	3 of 7 - Sale <sup>25</sup>
	92.000	783.81	07/28/20	840.88	57.07 W	0.00	4 of 7 - Sale <sup>25</sup>
	50.000	426.00	07/28/20	457.00	31.00 W	0.00	5 of 7 - Sale <sup>25</sup>
	100.000	851.97	07/28/20	914.00	62.03 W	0.00	6 of 7 - Sale <sup>25</sup>
	100.000	851.97	07/28/20	914.00	62.03 W	0.00	7 of 7 - Sale <sup>25</sup>
07/28/20	450.000	3,833.88	Various	4,117.96	284.08 W	0.00	Total of 7 transactions
	4 transactions for 07/29/20. Total proceeds and cost reported to the IRS.						
	1.000	39.50	07/28/20	8.67	...	30.83	1 of 4 - Sale <sup>25</sup>
	4.000	158.00	07/28/20	34.68	...	123.32	2 of 4 - Sale <sup>25</sup>
	19.000	750.48	07/28/20	164.74	...	585.74	3 of 4 - Sale <sup>25</sup>
	25.000	987.47	07/28/20	216.76	...	770.71	4 of 4 - Sale <sup>25</sup>
07/29/20	49.000	1,935.45	Various	424.85	...	1,510.60	Total of 4 transactions
	8 transactions for 08/04/20. Total proceeds and cost reported to the IRS.						
	1.000	16.63	07/28/20	8.67	...	7.96	1 of 8 - Sale <sup>25</sup>
	1.000	16.63	08/03/20	15.82	...	0.81	2 of 8 - Sale <sup>25</sup>
	1.000	16.63	08/03/20	15.62	...	1.01	3 of 8 - Sale <sup>25</sup>
	4.000	66.52	08/03/20	62.98	...	3.54	4 of 8 - Sale <sup>25</sup>
	9.000	149.67	08/03/20	141.71	...	7.96	5 of 8 - Sale <sup>25</sup>
	11.000	182.93	08/03/20	173.20	...	9.73	6 of 8 - Sale <sup>25</sup>
	9.000	149.67	08/03/20	136.13	...	13.54	7 of 8 - Sale <sup>25</sup>

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Account 435007638

## Proceeds from Broker and Barter Exchange Transactions

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

(continued)

02/14/2021

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EASTMAN KODAK COMPANY / CUSIP: 277461406 / Symbol: (cont'd)							
	16.000	266.08	08/03/20	251.92	...	14.16	8 of 8 - Sale <sup>25</sup>
08/04/20	52.000	864.76	Various	806.05	...	58.71	Total of 8 transactions
	2 transactions for 11/03/20. Total proceeds and cost reported to the IRS.						
	1.000	6.98	08/03/20	15.12	...	-8.14	1 of 2 - Sale <sup>25</sup>
	30.000	209.40	08/05/20	451.20	...	-241.80	2 of 2 - Sale <sup>25</sup>
11/03/20	31.000	216.38	Various	466.32	...	-249.94	Total of 2 transactions
	<b>Security total:</b>	<b>10,744.73</b>		<b>8,854.73</b>	<b>284.08 W</b>	<b>2,174.08</b>	
EHEALTH, INC. COMMON STOCK / CUSIP: 28238P109 / Symbol:							
07/27/20	10.000	791.98	07/24/20	790.00	...	1.98	Sale <sup>25</sup>
ELECTRAMECCANICA VEHICLES CORP . LTD. COMMON STOCK / CUSIP: 284849205 / Symbol:							
	6 transactions for 06/29/20. Total proceeds and cost reported to the IRS.						
	2.300	5.25	06/23/20	4.32	...	0.93	1 of 6 - Sale <sup>25</sup>
	47.700	108.75	06/23/20	89.67	...	19.08	2 of 6 - Sale <sup>25</sup>
	0.700	1.59	06/24/20	1.33	...	0.26	3 of 6 - Sale <sup>25</sup>
	47.000	107.16	06/24/20	89.30	...	17.86	4 of 6 - Sale <sup>25</sup>
	52.300	119.24	06/24/20	99.37	...	19.87	5 of 6 - Sale <sup>25</sup>
	100.000	227.99	06/24/20	190.00	...	37.99	6 of 6 - Sale <sup>25</sup>
06/29/20	250.000	569.98	Various	473.99	...	95.99	Total of 6 transactions
	2 transactions for 07/06/20. Total proceeds and cost reported to the IRS.						
	50.000	266.49	06/29/20	125.00	...	141.49	1 of 2 - Sale <sup>25</sup>
	50.000	266.48	07/02/20	173.50	...	92.98	2 of 2 - Sale <sup>25</sup>
07/06/20	100.000	532.97	Various	298.50	...	234.47	Total of 2 transactions
07/24/20	164.000	544.46	07/06/20	828.20	...	-283.74	Sale <sup>25</sup>
07/24/20	36.000	119.52	07/06/20	181.80	13.84 W	-48.44	Sale <sup>25</sup>
	2 transactions for 11/04/20. Total proceeds and cost reported to the IRS.						
	50.000	150.56	07/06/20	252.50	...	-101.94	1 of 2 - Sale <sup>25</sup>
	8.000	24.09	07/29/20	42.64	...	-18.55	2 of 2 - Sale <sup>25</sup>
11/04/20	58.000	174.65	Various	295.14	...	-120.49	Total of 2 transactions
	<b>Security total:</b>	<b>1,941.58</b>		<b>2,077.63</b>	<b>13.84 W</b>	<b>-122.21</b>	
EMBRAER S.A. / CUSIP: 29082A107 / Symbol:							
05/19/20	50.000	235.00	04/27/20	257.00	...	-22.00	Sale <sup>25</sup>

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Robinhood Securities LLC

Account 435007638

## Proceeds from Broker and Barter Exchange Transactions

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

(continued)

02/14/2021

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

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1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
EMMIS COMMUNICATIONS CORP COM NEW CL A COMMON STOCK / CUSIP: 291525400 / Symbol:							
05/12/20	100.000	134.99	04/27/20	132.00	...	2.99	Sale <sup>25</sup>
EVOFEM BIOSCIENCES, INC. COMMO N STOCK / CUSIP: 30048L104 / Symbol:							
4 transactions for 09/21/20. Total proceeds and cost reported to the IRS.							
	230.000	519.76	09/02/20	802.70	...	-282.94	1 of 4 - Sale <sup>25</sup>
	200.000	451.96	09/02/20	698.00	...	-246.04	2 of 4 - Sale <sup>25</sup>
	50.000	112.99	09/02/20	174.50	...	-61.51	3 of 4 - Sale <sup>25</sup>
	20.000	45.20	09/02/20	69.80	...	-24.60	4 of 4 - Sale <sup>25</sup>
09/21/20	500.000	1,129.91	Various	1,745.00	...	-615.09	Total of 4 transactions
EVOLENT HEALTH, INC CLASS A CO MMON STOCK / CUSIP: 30050B101 / Symbol:							
06/03/20	30.000	183.00	06/01/20	203.70	...	-20.70	Sale <sup>25</sup>
FACEBOOK, INC. CLASS A COMMON STOCK / CUSIP: 30303M102 / Symbol:							
10/08/20	4.000	1,050.69	09/16/20	1,056.60	...	-5.91	Sale <sup>25</sup>
10/09/20	2.000	529.98	09/16/20	528.30	...	1.68	Sale <sup>25</sup>
	<b>Security total:</b>	<b>1,580.67</b>		<b>1,584.90</b>	...	<b>-4.23</b>	
FISKER INC. / CUSIP: 33813J106 / Symbol:							
11/09/20	1.000	14.08	09/02/20	14.39	...	-0.31	Sale <sup>25</sup>
GALIANO GOLD INC. / CUSIP: 36352H100 / Symbol:							
07/06/20	87.000	124.40	04/23/20	100.05	...	24.35	Sale <sup>25</sup>
GOLD STANDARD VENTURES CORP. / CUSIP: 380738104 / Symbol:							
06/23/20	400.000	291.95	05/19/20	289.00	...	2.95	Sale <sup>25</sup>
GOSSAMER BIO, INC. COMMON STOC K / CUSIP: 38341P102 / Symbol:							
2 transactions for 05/20/20. Total proceeds and cost reported to the IRS.							
	1.000	12.66	05/19/20	12.54	...	0.12	1 of 2 - Sale <sup>25</sup>
	19.000	240.54	05/19/20	238.26	...	2.28	2 of 2 - Sale <sup>25</sup>
05/20/20	20.000	253.20	Various	250.80	...	2.40	Total of 2 transactions
GROUPON, INC. COMMON STOCK / CUSIP: 399473206 / Symbol:							
11/03/20	2.000	41.72	02/20/20	71.20	...	-29.48	Sale <sup>25</sup>

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Robinhood Securities LLC

Account 435007638

**Proceeds from Broker and Barter Exchange Transactions**

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

(continued)

02/14/2021

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HECLA MINING COMPANY / CUSIP: 422704106 / Symbol:							
3 transactions for 08/24/20. Total proceeds and cost reported to the IRS.							
	100.000	576.97	04/13/20	232.00	...	344.97	1 of 3 - Sale <sup>25</sup>
	150.000	865.46	07/15/20	663.00	...	202.46	2 of 3 - Sale <sup>25</sup>
	200.000	1,153.95	07/15/20	884.00	...	269.95	3 of 3 - Sale <sup>25</sup>
08/24/20	450.000	2,596.38	Various	1,779.00	...	817.38	Total of 3 transactions
08/24/20	29.000	167.32	08/11/20	170.96	3.64 W	0.00	Sale <sup>25</sup>
2 transactions for 10/19/20. Total proceeds and cost reported to the IRS.							
	29.000	154.59	09/23/20	141.97	...	12.62	1 of 2 - Sale <sup>25</sup>
	35.000	186.59	09/23/20	166.94	...	19.65	2 of 2 - Sale <sup>25</sup>
10/19/20	64.000	341.18	Various	308.91	...	32.27	Total of 2 transactions
10/19/20	1.000	5.33	08/11/20	5.90	0.57 W	0.00	Sale <sup>25</sup>
11/03/20	1.000	4.93	09/23/20	5.34	...	-0.41	Sale <sup>25</sup>
<b>Security total:</b>		<b>3,115.14</b>		<b>2,270.11</b>	<b>4.21 W</b>	<b>849.24</b>	
HENNESSY CAPITAL ACQUISITION C ORP. IV CLASS A COMMON STOCK / CUSIP: 42589C104 / Symbol:							
3 transactions for 09/28/20. Total proceeds and cost reported to the IRS.							
	4.000	44.80	09/25/20	44.48	...	0.32	1 of 3 - Sale <sup>25</sup>
	26.000	291.20	09/25/20	289.12	...	2.08	2 of 3 - Sale <sup>25</sup>
	60.000	671.97	09/25/20	667.20	...	4.77	3 of 3 - Sale <sup>25</sup>
09/28/20	90.000	1,007.97	Various	1,000.80	...	7.17	Total of 3 transactions
HERTZ GLOBAL HOLDINGS, INC. CO MMON STOCK / CUSIP: 42806J106 / Symbol:							
06/24/20	100.000	145.99	06/23/20	133.00	...	12.99	Sale <sup>25</sup>
HYLIION HOLDINGS CORP. / CUSIP: 449109107 / Symbol:							
10/19/20	19.000	480.68	09/30/20	946.20	...	-465.52	Sale <sup>25</sup>
10/19/20	1.000	25.30	09/25/20	43.47	18.17 W	0.00	Sale <sup>25</sup>
11/03/20	1.000	19.90	09/30/20	67.97	...	-48.07	Sale <sup>25</sup>
<b>Security total:</b>		<b>525.88</b>		<b>1,057.64</b>	<b>18.17 W</b>	<b>-513.59</b>	
ICICI BANK LIMITED / CUSIP: 45104G104 / Symbol:							
09/18/20	3.000	30.12	01/10/20	45.12	...	-15.00	Sale <sup>25</sup>

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Robinhood Securities LLC

Account 435007638

Proceeds from Broker and Barter Exchange Transactions

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

(continued)

02/14/2021

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

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IDEANOMICS, INC. COMMON STOCK / CUSIP: 45166V106 / Symbol:							
3 transactions for 07/30/20. Total proceeds and cost reported to the IRS.							
	6.000	9.15	07/09/20	8.40	...	0.75	1 of 3 - Sale <sup>25</sup>
	50.000	76.24	07/09/20	70.00	...	6.24	2 of 3 - Sale <sup>25</sup>
	343.000	523.02	07/09/20	480.20	...	42.82	3 of 3 - Sale <sup>25</sup>
07/30/20	399.000	608.41	Various	558.60	...	49.81	Total of 3 transactions
2 transactions for 08/05/20. Total proceeds and cost reported to the IRS.							
	1.000	1.58	07/09/20	1.40	...	0.18	1 of 2 - Sale <sup>25</sup>
	499.000	790.84	08/04/20	723.55	...	67.29	2 of 2 - Sale <sup>25</sup>
08/05/20	500.000	792.42	Various	724.95	...	67.47	Total of 2 transactions
2 transactions for 11/05/20. Total proceeds and cost reported to the IRS.							
	201.000	187.35	08/04/20	291.45	...	-104.10	1 of 2 - Sale <sup>25</sup>
	100.000	93.19	08/04/20	145.00	...	-51.81	2 of 2 - Sale <sup>25</sup>
11/05/20	301.000	280.54	Various	436.45	...	-155.91	Total of 2 transactions
	<b>Security total:</b>	<b>1,681.37</b>		<b>1,720.00</b>	...	<b>-38.63</b>	
INDEPENDENCE CONTRACT DRILLING , INC. / CUSIP: 453415606 / Symbol:							
04/13/20	5.000	48.00	04/13/20	45.50	...	2.50	Sale <sup>25</sup>
INOVIO PHARMACEUTICALS, INC. C OMMON STOCK / CUSIP: 45773H201 / Symbol:							
3 transactions for 06/23/20. Total proceeds and cost reported to the IRS.							
	1.000	21.59	04/20/20	9.10	...	12.49	1 of 3 - Sale <sup>25</sup>
	14.000	302.28	04/20/20	127.40	...	174.88	2 of 3 - Sale <sup>25</sup>
	10.000	215.91	04/24/20	142.50	...	73.41	3 of 3 - Sale <sup>25</sup>
06/23/20	25.000	539.78	Various	279.00	...	260.78	Total of 3 transactions
4 transactions for 08/04/20. Total proceeds and cost reported to the IRS.							
	42.000	847.53	07/30/20	890.40	...	-42.87	1 of 4 - Sale <sup>25</sup>
	4.000	80.72	07/30/20	90.28	...	-9.56	2 of 4 - Sale <sup>25</sup>
	2.000	40.36	07/30/20	45.14	...	-4.78	3 of 4 - Sale <sup>25</sup>
	1.000	20.18	07/30/20	22.56	...	-2.38	4 of 4 - Sale <sup>25</sup>
08/04/20	49.000	988.79	Various	1,048.38	...	-59.59	Total of 4 transactions

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Robinhood Securities LLC

Account 435007638

## 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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INOVIO PHARMACEUTICALS, INC. C OMMON STOCK / CUSIP: 45773H201 / Symbol: (cont'd)							
2 transactions for 08/04/20. Total proceeds and cost reported to the IRS.							
	1.000	20.19	07/02/20	21.55	1.36 W	0.00	1 of 2 - Sale <sup>25</sup>
	7.000	141.26	07/02/20	150.85	9.59 W	0.00	2 of 2 - Sale <sup>25</sup>
08/04/20	8.000	161.45	Various	172.40	10.95 W	0.00	Total of 2 transactions
2 transactions for 08/12/20. Total proceeds and cost reported to the IRS.							
	49.000	643.87	07/30/20	1,038.80	...	-394.93	1 of 2 - Sale <sup>25</sup>
	1.000	13.14	07/30/20	22.57	...	-9.43	2 of 2 - Sale <sup>25</sup>
08/12/20	50.000	657.01	Various	1,061.37	...	-404.36	Total of 2 transactions
2 transactions for 10/05/20. Total proceeds and cost reported to the IRS.							
	47.000	544.24	09/28/20	502.43	...	41.81	1 of 2 - Sale <sup>25</sup>
	52.000	602.14	09/28/20	555.88	...	46.26	2 of 2 - Sale <sup>25</sup>
10/05/20	99.000	1,146.38	Various	1,058.31	...	88.07	Total of 2 transactions
10/05/20	1.000	11.58	07/30/20	21.20	9.62 W	0.00	Sale <sup>25</sup>
11/03/20	1.000	10.22	09/28/20	20.31	...	-10.09	Sale <sup>25</sup>
	<b>Security total:</b>	<b>3,515.21</b>		<b>3,660.97</b>	<b>20.57 W</b>	<b>-125.19</b>	
INTERNATIONAL CONSOLIDATED AIR LINES GROUP SA SPONSORED AMERI CAN DEPOSITORY RECEIPT (SPAIN) / CUSIP: 459348108 / Symbol:							
3 transactions for 10/29/20. Total proceeds and cost reported to the IRS.							
	287.000	703.10	10/08/20	840.91	...	-137.81	1 of 3 - Sale <sup>25</sup>
	37.000	90.64	10/08/20	108.41	...	-17.77	2 of 3 - Sale <sup>25</sup>
	13.000	31.85	10/08/20	44.33	...	-12.48	3 of 3 - Sale <sup>25</sup>
10/29/20	337.000	825.59	Various	993.65	...	-168.06	Total of 3 transactions
10/29/20	13.000	31.85	10/08/20	38.09	6.24 W	0.00	Sale <sup>25</sup>
	<b>Security total:</b>	<b>857.44</b>		<b>1,031.74</b>	<b>6.24 W</b>	<b>-168.06</b>	
ISHARES GOLD TRUST / CUSIP: 464285105 / Symbol: / Note: CL							
05/12/20	20.000	326.00	04/13/20	328.80	...	-2.80	3- Proceeds from collectibles [X] Sale <sup>25</sup>
JPMORGAN CHASE & CO. / CUSIP: 46625H100 / Symbol:							
03/19/20	2.000	172.00	03/18/20	168.00	...	4.00	Sale <sup>25</sup>
2 transactions for 05/26/20. Total proceeds and cost reported to the IRS.							
	0.003	0.24	04/14/20	0.24	...	0.00	1 of 2 - Sale <sup>25</sup>

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Account 435007638

**Proceeds from Broker and Barter Exchange Transactions**

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

(continued)

02/14/2021

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JPMORGAN CHASE & CO. / CUSIP: 46625H100 / Symbol: (cont'd)							
	0.521	49.83	04/14/20	49.76	...	0.07	2 of 2 - Sale <sup>25</sup>
05/26/20	0.523	50.07	Various	50.00	...	0.07	Total of 2 transactions
	<b>Security total:</b>	<b>222.07</b>		<b>218.00</b>	...	<b>4.07</b>	
KAR AUCTION SERVICES, INC. / CUSIP: 48238T109 / Symbol:							
07/13/20	5.000	66.81	04/24/20	66.50	...	0.31	Sale <sup>25</sup>
KANDI TECHNOLOGIES GROUP, INC COMMON STOCK / CUSIP: 483709101 / Symbol:							
<i>5 transactions for 07/06/20. Total proceeds and cost reported to the IRS.</i>							
	8.000	41.20	06/29/20	31.52	...	9.68	1 of 5 - Sale <sup>25</sup>
	42.000	216.29	06/29/20	165.90	...	50.39	2 of 5 - Sale <sup>25</sup>
	11.000	55.00	06/30/20	47.39	...	7.61	3 of 5 - Sale <sup>25</sup>
	38.000	190.00	06/30/20	163.71	...	26.29	4 of 5 - Sale <sup>25</sup>
	50.000	257.48	06/30/20	215.41	...	42.07	5 of 5 - Sale <sup>25</sup>
07/06/20	149.000	759.97	Various	623.93	...	136.04	Total of 5 transactions
<i>3 transactions for 07/08/20. Total proceeds and cost reported to the IRS.</i>							
	1.000	4.77	06/30/20	4.31	...	0.46	1 of 3 - Sale <sup>25</sup>
	50.000	238.50	07/06/20	230.00	...	8.50	2 of 3 - Sale <sup>25</sup>
	99.000	472.22	07/06/20	455.40	...	16.82	3 of 3 - Sale <sup>25</sup>
07/08/20	150.000	715.49	Various	689.71	...	25.78	Total of 3 transactions
<i>3 transactions for 07/30/20. Total proceeds and cost reported to the IRS.</i>							
	1.000	11.53	07/06/20	4.60	...	6.93	1 of 3 - Sale <sup>25</sup>
	59.000	680.24	07/29/20	687.32	...	-7.08	2 of 3 - Sale <sup>25</sup>
	11.000	134.20	07/29/20	128.15	...	6.05	3 of 3 - Sale <sup>25</sup>
07/30/20	71.000	825.97	Various	820.07	...	5.90	Total of 3 transactions
	<b>Security total:</b>	<b>2,301.43</b>		<b>2,133.71</b>	...	<b>167.72</b>	
KIRKLAND LAKE GOLD LTD ORDINAR Y / CUSIP: 49741E100 / Symbol:							
06/29/20	8.000	314.40	04/22/20	313.60	...	0.80	Sale <sup>25</sup>
L BRANDS, INC. / CUSIP: 501797104 / Symbol:							
04/23/20	20.000	202.00	04/22/20	182.00	...	20.00	Sale <sup>25</sup>

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## Proceeds from Broker and Barter Exchange Transactions

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

(continued)

02/14/2021

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LANDCADIA HOLDINGS II, INC. CL ASS A COMMON STOCK / CUSIP: 51476X105 / Symbol:							
3 transactions for 09/02/20. Total proceeds and cost reported to the IRS.							
	44.000	660.86	08/24/20	748.46	...	-87.60	1 of 3 - Sale <sup>25</sup>
	5.000	75.10	08/24/20	85.05	...	-9.95	2 of 3 - Sale <sup>25</sup>
	1.000	15.02	08/24/20	16.99	...	-1.97	3 of 3 - Sale <sup>25</sup>
09/02/20	50.000	750.98	Various	850.50	...	-99.52	Total of 3 transactions
2 transactions for 09/02/20. Total proceeds and cost reported to the IRS.							
	99.000	1,487.92	08/24/20	1,585.98	48.53 W	-49.53	1 of 2 - Sale <sup>25</sup>
	1.000	15.03	08/24/20	16.00	0.97 W	0.00	2 of 2 - Sale <sup>25</sup>
09/02/20	100.000	1,502.95	Various	1,601.98	49.50 W	-49.53	Total of 2 transactions
	<b>Security total:</b>	<b>2,253.93</b>		<b>2,452.48</b>	<b>49.50 W</b>	<b>-149.05</b>	
MARINUS PHARMACEUTICALS, INC. COMMON STOCK / CUSIP: 56854Q101 / Symbol:							
2 transactions for 08/03/20. Total proceeds and cost reported to the IRS.							
	406.000	682.01	07/30/20	710.50	...	-28.49	1 of 2 - Sale <sup>25</sup>
	94.000	157.91	07/30/20	164.50	...	-6.59	2 of 2 - Sale <sup>25</sup>
08/03/20	500.000	839.92	Various	875.00	...	-35.08	Total of 2 transactions
MATINAS BIOPHARMA HOLDINGS, IN C. / CUSIP: 576810105 / Symbol:							
4 transactions for 07/06/20. Total proceeds and cost reported to the IRS.							
	100.000	75.11	06/24/20	83.14	...	-8.03	1 of 4 - Sale <sup>25</sup>
	32.000	24.03	06/24/20	26.60	...	-2.57	2 of 4 - Sale <sup>25</sup>
	13.000	9.76	06/24/20	10.80	...	-1.04	3 of 4 - Sale <sup>25</sup>
	5.000	3.76	06/24/20	4.15	...	-0.39	4 of 4 - Sale <sup>25</sup>
07/06/20	150.000	112.66	Various	124.69	...	-12.03	Total of 4 transactions
MECHEL PAO AMERICAN DEPOSITARY SHARES (EACH REPRESENTING ONE -HALF OF A PREFERRED SHARE) / CUSIP: 583840509 / Symbol:							
07/15/20	39.000	21.84	01/07/20	45.24	...	-23.40	Sale <sup>25</sup>
11/04/20	1.000	0.38	01/07/20	1.16	...	-0.78	Sale <sup>25</sup>
	<b>Security total:</b>	<b>22.22</b>		<b>46.40</b>	...	<b>-24.18</b>	
MESOBLAST LIMITED AMERICAN DEP OSITARY SHARES / CUSIP: 590717104 / Symbol:							
10/08/20	50.000	601.98	10/06/20	601.50	...	0.48	Sale <sup>25</sup>

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Robinhood Securities LLC

Account 435007638

**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
MICROSOFT CORPORATION COMMON S TOCK / CUSIP: 594918104 / Symbol:							
2 transactions for 03/19/20. Total proceeds and cost reported to the IRS.							
	1.000	147.20	10/17/19	139.25	...	7.95	1 of 2 - Sale <sup>25</sup>
	2.000	294.39	03/18/20	274.00	...	20.39	2 of 2 - Sale <sup>25</sup>
03/19/20	3.000	441.59	Various	413.25	...	28.34	Total of 2 transactions
03/19/20	1.000	147.19	12/17/19	155.00	7.81 W	0.00	Sale <sup>25</sup>
03/24/20	3.000	431.68	03/20/20	414.00	...	17.68	Sale <sup>25</sup>
03/24/20	1.000	143.90	03/20/20	145.81	1.91 W	0.00	Sale <sup>25</sup>
2 transactions for 04/14/20. Total proceeds and cost reported to the IRS.							
	1.000	173.30	04/14/20	175.33	2.03 W	0.00	1 of 2 - Sale <sup>25</sup>
	3.000	519.88	04/14/20	520.26	0.38 W	0.00	2 of 2 - Sale <sup>25</sup>
04/14/20	4.000	693.18	Various	695.59	2.41 W	0.00	Total of 2 transactions
2 transactions for 04/21/20. Total proceeds and cost reported to the IRS.							
	3.000	506.98	04/15/20	511.58	...	-4.60	1 of 2 - Sale <sup>25</sup>
	1.000	169.00	04/15/20	172.43	...	-3.43	2 of 2 - Sale <sup>25</sup>
04/21/20	4.000	675.98	Various	684.01	...	-8.03	Total of 2 transactions
07/21/20	1.000	210.70	07/20/20	211.90	...	-1.20	Sale <sup>25</sup>
07/21/20	1.000	210.70	07/20/20	211.90	1.20 W	0.00	Sale <sup>25</sup>
2 transactions for 08/03/20. Total proceeds and cost reported to the IRS.							
	1.000	216.29	07/20/20	213.10	...	3.19	1 of 2 - Sale <sup>25</sup>
	2.000	432.59	07/20/20	423.80	...	8.79	2 of 2 - Sale <sup>25</sup>
08/03/20	3.000	648.88	Various	636.90	...	11.98	Total of 2 transactions
	<b>Security total:</b>	<b>3,603.80</b>		<b>3,568.36</b>	<b>13.33 W</b>	<b>48.77</b>	
MODEL N, INC. / CUSIP: 607525102 / Symbol:							
05/20/20	10.000	273.00	05/19/20	262.58	...	10.42	Sale <sup>25</sup>
MODERNA, INC. COMMON STOCK / CUSIP: 60770K107 / Symbol:							
3 transactions for 09/16/20. Total proceeds and cost reported to the IRS.							
	1.000	70.03	04/20/20	51.80	...	18.23	1 of 3 - Sale <sup>25</sup>
	8.000	560.22	06/01/20	496.80	...	63.42	2 of 3 - Sale <sup>25</sup>
	11.000	770.31	07/29/20	865.70	...	-95.39	3 of 3 - Sale <sup>25</sup>
09/16/20	20.000	1,400.56	Various	1,414.30	...	-13.74	Total of 3 transactions

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Robinhood Securities LLC

Account 435007638

**Proceeds from Broker and Barter Exchange Transactions**

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

(continued)

02/14/2021

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

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MODERNA, INC. COMMON STOCK / CUSIP: 60770K107 / Symbol: (cont'd)							
<i>2 transactions for 09/21/20. Total proceeds and cost reported to the IRS.</i>							
	2.000	138.00	08/11/20	137.29	...	0.71	1 of 2 - Sale <sup>25</sup>
	10.000	689.98	08/12/20	696.80	...	-6.82	2 of 2 - Sale <sup>25</sup>
09/21/20	12.000	827.98	Various	834.09	...	-6.11	Total of 2 transactions
10/19/20	9.000	645.28	08/12/20	627.12	...	18.16	Sale <sup>25</sup>
10/28/20	1.000	68.55	08/12/20	69.68	...	-1.13	Sale <sup>25</sup>
<b>Security total:</b>		<b>2,942.37</b>		<b>2,945.19</b>	...	<b>-2.82</b>	
MODINE MANUFACTURING CO / CUSIP: 607828100 / Symbol:							
<i>3 transactions for 11/06/20. Total proceeds and cost reported to the IRS.</i>							
	100.000	974.96	11/06/20	955.00	...	19.96	1 of 3 - Sale <sup>25</sup>
	100.000	974.96	11/06/20	955.00	...	19.96	2 of 3 - Sale <sup>25</sup>
	100.000	974.96	11/06/20	955.00	...	19.96	3 of 3 - Sale <sup>25</sup>
11/06/20	300.000	2,924.88	Various	2,865.00	...	59.88	Total of 3 transactions
NIO INC. AMERICAN DEPOSITARY SHARES, EACH REPRESENTING ONE CLASS A ORDINARY SHARE / CUSIP: 62914V106 / Symbol:							
05/27/20	1.000	3.99	04/29/20	3.80	...	0.19	Sale <sup>25</sup>
NETGEAR, INC. COMMON STOCK / CUSIP: 64111Q104 / Symbol:							
<i>2 transactions for 07/06/20. Total proceeds and cost reported to the IRS.</i>							
	1.000	25.00	04/23/20	21.64	...	3.36	1 of 2 - Sale <sup>25</sup>
	2.000	50.00	04/23/20	43.28	...	6.72	2 of 2 - Sale <sup>25</sup>
07/06/20	3.000	75.00	Various	64.92	...	10.08	Total of 2 transactions
NEW GOLD INC. / CUSIP: 644535106 / Symbol:							
<i>3 transactions for 07/15/20. Total proceeds and cost reported to the IRS.</i>							
	40.000	54.00	04/13/20	29.48	...	24.52	1 of 3 - Sale <sup>25</sup>
	110.000	148.48	04/13/20	81.08	...	67.40	2 of 3 - Sale <sup>25</sup>
	69.000	93.14	05/08/20	71.76	...	21.38	3 of 3 - Sale <sup>25</sup>
07/15/20	219.000	295.62	Various	182.32	...	113.30	Total of 3 transactions
<i>2 transactions for 07/17/20. Total proceeds and cost reported to the IRS.</i>							
	1.000	1.36	05/08/20	1.04	...	0.32	1 of 2 - Sale <sup>25</sup>
	149.000	202.62	07/17/20	197.43	...	5.19	2 of 2 - Sale <sup>25</sup>
07/17/20	150.000	203.98	Various	198.47	...	5.51	Total of 2 transactions

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Robinhood Securities LLC

Account 435007638

**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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NEW GOLD INC. / CUSIP: 644535106 / Symbol: (cont'd)							
2 transactions for 10/19/20. Total proceeds and cost reported to the IRS.							
	1.000	2.08	07/17/20	1.33	...	0.75	1 of 2 - Sale <sup>25</sup>
	49.000	101.92	07/21/20	73.75	...	28.17	2 of 2 - Sale <sup>25</sup>
10/19/20	50.000	104.00	Various	75.08	...	28.92	Total of 2 transactions
11/06/20	1.000	1.97	07/21/20	1.50	...	0.47	Sale <sup>25</sup>
	<b>Security total:</b>	<b>605.57</b>		<b>457.37</b>	...	<b>148.20</b>	
NEWMONT CORPORATION / CUSIP: 651639106 / Symbol:							
07/17/20	3.000	186.00	04/22/20	184.35	...	1.65	Sale <sup>25</sup>
NIKOLA CORPORATION COMMON STOC K / CUSIP: 654110105 / Symbol:							
10/02/20	54.000	1,349.96	09/28/20	1,026.00	...	323.96	Sale <sup>25</sup>
11/03/20	1.000	19.04	09/28/20	19.00	...	0.04	Sale <sup>25</sup>
	<b>Security total:</b>	<b>1,369.00</b>		<b>1,045.00</b>	...	<b>324.00</b>	
NORTHERN DYNASTY MINERALS, LTD . / CUSIP: 66510M204 / Symbol:							
05/08/20	35.000	32.55	08/06/19	28.53	...	4.02	Sale <sup>25</sup>
2 transactions for 05/13/20. Total proceeds and cost reported to the IRS.							
	150.000	108.43	05/12/20	121.27	...	-12.84	1 of 2 - Sale <sup>25</sup>
	100.000	72.29	05/12/20	80.85	...	-8.56	2 of 2 - Sale <sup>25</sup>
05/13/20	250.000	180.72	Various	202.12	...	-21.40	Total of 2 transactions
05/13/20	50.000	36.15	05/12/20	40.42	0.43 W	-3.84	Sale <sup>25</sup>
07/15/20	5.000	7.30	06/11/20	7.06	...	0.24	Sale <sup>25</sup>
07/15/20	99.000	144.53	06/24/20	145.53	1.00 W	0.00	Sale <sup>25</sup>
12 transactions for 07/30/20. Total proceeds and cost reported to the IRS.							
	1.000	1.64	06/24/20	1.47	...	0.17	1 of 12 - Sale <sup>25</sup>
	1.000	1.64	07/15/20	1.48	...	0.16	2 of 12 - Sale <sup>25</sup>
	20.000	32.80	07/15/20	29.60	...	3.20	3 of 12 - Sale <sup>25</sup>
	70.000	114.79	07/15/20	103.60	...	11.19	4 of 12 - Sale <sup>25</sup>
	99.000	162.34	07/15/20	147.52	...	14.82	5 of 12 - Sale <sup>25</sup>
	210.000	344.37	07/15/20	310.80	...	33.57	6 of 12 - Sale <sup>25</sup>
	1.000	1.61	07/29/20	1.60	...	0.01	7 of 12 - Sale <sup>25</sup>
	9.000	14.76	07/29/20	14.40	...	0.36	8 of 12 - Sale <sup>25</sup>
	200.000	321.97	07/29/20	320.00	...	1.97	9 of 12 - Sale <sup>25</sup>

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Robinhood Securities LLC

Account 435007638

## 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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NORTHERN DYNASTY MINERALS, LTD . / CUSIP: 66510M204 / Symbol: (cont'd)							
	199.000	320.36	07/29/20	317.40	...	2.96	10 of 12 - Sale <sup>25</sup>
	200.000	327.97	07/29/20	320.00	...	7.97	11 of 12 - Sale <sup>25</sup>
	200.000	327.97	07/29/20	320.00	...	7.97	12 of 12 - Sale <sup>25</sup>
07/30/20	1,210.000	1,972.22	Various	1,887.87	...	84.35	Total of 12 transactions
	4 transactions for 07/30/20. Total proceeds and cost reported to the IRS.						
	30.000	49.19	07/24/20	57.90	8.71 W	0.00	1 of 4 - Sale <sup>25</sup>
	160.000	262.37	07/24/20	303.20	40.83 W	0.00	2 of 4 - Sale <sup>25</sup>
	30.000	48.29	07/29/20	56.71	8.42 W	0.00	3 of 4 - Sale <sup>25</sup>
	160.000	257.57	07/29/20	296.83	39.26 W	0.00	4 of 4 - Sale <sup>25</sup>
07/30/20	380.000	617.42	Various	714.64	97.22 W	0.00	Total of 4 transactions
	7 transactions for 08/25/20. Total proceeds and cost reported to the IRS.						
	107.000	75.96	08/03/20	285.22	...	-209.26	1 of 7 - Sale <sup>25</sup>
	123.000	87.31	08/03/20	192.50	...	-105.19	2 of 7 - Sale <sup>25</sup>
	53.000	37.62	08/03/20	141.27	...	-103.65	3 of 7 - Sale <sup>25</sup>
	73.000	51.82	08/03/20	114.24	...	-62.42	4 of 7 - Sale <sup>25</sup>
	29.000	20.59	08/03/20	78.32	...	-57.73	5 of 7 - Sale <sup>25</sup>
	26.000	18.46	08/03/20	62.92	...	-44.46	6 of 7 - Sale <sup>25</sup>
	11.000	7.81	08/03/20	26.62	...	-18.81	7 of 7 - Sale <sup>25</sup>
08/25/20	422.000	299.57	Various	901.09	...	-601.52	Total of 7 transactions
	7 transactions for 08/25/20. Total proceeds and cost reported to the IRS.						
	1.000	0.71	07/29/20	1.87	1.16 W	0.00	1 of 7 - Sale <sup>25</sup>
	29.000	20.59	08/03/20	53.53	32.94 W	0.00	2 of 7 - Sale <sup>25</sup>
	107.000	75.95	08/03/20	193.71	117.76 W	0.00	3 of 7 - Sale <sup>25</sup>
	53.000	37.62	08/03/20	95.95	58.33 W	0.00	4 of 7 - Sale <sup>25</sup>
	11.000	7.81	08/03/20	17.21	9.40 W	0.00	5 of 7 - Sale <sup>25</sup>
	26.000	18.46	08/03/20	40.69	22.23 W	0.00	6 of 7 - Sale <sup>25</sup>
	1.000	0.71	08/03/20	2.73	2.02 W	0.00	7 of 7 - Sale <sup>25</sup>
08/25/20	228.000	161.85	Various	405.69	243.84 W	0.00	Total of 7 transactions
11/06/20	1.000	0.78	08/03/20	3.58	...	-2.80	Sale <sup>25</sup>
	<b>Security total:</b>	<b>3,453.09</b>		<b>4,336.53</b>	<b>342.49 W</b>	<b>-540.95</b>	

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Account 435007638

## Proceeds from Broker and Barter Exchange Transactions

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

(continued)

02/14/2021

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NOVAVAX, INC. COMMON STOCK / CUSIP: 670002401 / Symbol:							
2 transactions for 04/24/20. Total proceeds and cost reported to the IRS.							
	9.000	174.60	04/20/20	215.55	...	-40.95	1 of 2 - Sale <sup>25</sup>
	1.000	19.40	04/20/20	23.95	...	-4.55	2 of 2 - Sale <sup>25</sup>
04/24/20	10.000	194.00	Various	239.50	...	-45.50	Total of 2 transactions
07/08/20	4.000	416.31	07/08/20	416.40	0.09 W	0.00	Sale <sup>25</sup>
3 transactions for 09/02/20. Total proceeds and cost reported to the IRS.							
	5.000	486.37	07/08/20	520.50	...	-34.13	1 of 3 - Sale <sup>25</sup>
	4.000	389.10	08/04/20	572.09	...	-182.99	2 of 3 - Sale <sup>25</sup>
	1.000	97.28	08/04/20	125.00	...	-27.72	3 of 3 - Sale <sup>25</sup>
09/02/20	10.000	972.75	Various	1,217.59	...	-244.84	Total of 3 transactions
	<b>Security total:</b>	<b>1,583.06</b>		<b>1,873.49</b>	<b>0.09 W</b>	<b>-290.34</b>	
ODONATE THERAPEUTICS, INC. COM MON STOCK / CUSIP: 676079106 / Symbol:							
08/28/20	70.000	1,294.96	08/24/20	1,312.50	...	-17.54	Sale <sup>25</sup>
09/02/20	30.000	476.70	08/24/20	562.50	...	-85.80	Sale <sup>25</sup>
	<b>Security total:</b>	<b>1,771.66</b>		<b>1,875.00</b>	...	<b>-103.34</b>	
ORGANOGENESIS HOLDINGS INC. CL ASS A COMMON STOCK / CUSIP: 68621F102 / Symbol:							
3 transactions for 07/06/20. Total proceeds and cost reported to the IRS.							
	6.000	22.14	05/29/20	23.82	...	-1.68	1 of 3 - Sale <sup>25</sup>
	4.000	14.76	05/29/20	15.92	...	-1.16	2 of 3 - Sale <sup>25</sup>
	2.000	7.38	05/29/20	7.96	...	-0.58	3 of 3 - Sale <sup>25</sup>
07/06/20	12.000	44.28	Various	47.70	...	-3.42	Total of 3 transactions
OVERSTOCK.COM, INC. COMMON STO CK / CUSIP: 690370101 / Symbol:							
04/27/20	7.000	80.50	10/18/19	73.72	...	6.78	Sale <sup>25</sup>
PEABODY ENERGY CORPORATION / CUSIP: 704551100 / Symbol:							
3 transactions for 11/06/20. Total proceeds and cost reported to the IRS.							
	352.000	415.32	10/05/20	794.78	...	-379.46	1 of 3 - Sale <sup>25</sup>
	142.000	167.54	10/05/20	320.62	...	-153.08	2 of 3 - Sale <sup>25</sup>
	6.000	7.08	10/05/20	13.55	...	-6.47	3 of 3 - Sale <sup>25</sup>
11/06/20	500.000	589.94	Various	1,128.95	...	-539.01	Total of 3 transactions

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Account 435007638

## Proceeds from Broker and Barter Exchange Transactions

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

(continued)

02/14/2021

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PIEDMONT LITHIUM LIMITED AMERI CAN DEPOSITARY RECEIPTS / CUSIP: 720162106 / Symbol:							
09/29/20	40.000	1,127.57	09/28/20	1,635.20	...	-507.63	Sale <sup>25</sup>
09/30/20	5.000	118.73	09/28/20	204.40	...	-85.67	Sale <sup>25</sup>
	<b>Security total:</b>	<b>1,246.30</b>		<b>1,839.60</b>	...	<b>-593.30</b>	
PLUG POWER, INC. COMMON STOCK / CUSIP: 72919P202 / Symbol:							
07/15/20	50.000	450.00	07/08/20	475.00	...	-25.00	Sale <sup>25</sup>
PRECISION DRILLING CORPORATION / CUSIP: 74022D308 / Symbol:							
01/15/20	13.000	20.15	09/17/19	18.79	...	1.36	Sale <sup>25</sup>
QUALIGEN THERAPEUTICS, INC. CO MMON STOCK / CUSIP: 74754R103 / Symbol:							
2 transactions for 07/24/20. Total proceeds and cost reported to the IRS.							
	59.000	323.31	07/24/20	328.63	...	-5.32	1 of 2 - Sale <sup>25</sup>
	1.000	5.48	07/24/20	5.57	...	-0.09	2 of 2 - Sale <sup>25</sup>
07/24/20	60.000	328.79	Various	334.20	...	-5.41	Total of 2 transactions
QURATE RETAIL, INC. SERIES B C OMMON STOCK / CUSIP: 74915M209 / Symbol:							
5 transactions for 09/16/20. Total proceeds and cost reported to the IRS.							
	50.000	624.98	09/16/20	671.50	...	-46.52	1 of 5 - Sale <sup>25</sup>
	50.000	624.98	09/16/20	671.50	...	-46.52	2 of 5 - Sale <sup>25</sup>
	20.000	279.99	09/16/20	299.82	...	-19.83	3 of 5 - Sale <sup>25</sup>
	50.000	699.97	09/16/20	703.02	...	-3.05	4 of 5 - Sale <sup>25</sup>
	350.000	6,089.82	09/16/20	6,002.50	...	87.32	5 of 5 - Sale <sup>25</sup>
09/16/20	520.000	8,319.74	Various	8,348.34	...	-28.60	Total of 5 transactions
6 transactions for 09/16/20. Total proceeds and cost reported to the IRS.							
	100.000	1,249.96	09/16/20	1,343.00	93.04 W	0.00	1 of 6 - Sale <sup>25</sup>
	50.000	624.98	09/16/20	671.50	46.52 W	0.00	2 of 6 - Sale <sup>25</sup>
	50.000	624.98	09/16/20	671.50	46.52 W	0.00	3 of 6 - Sale <sup>25</sup>
	13.000	162.49	09/16/20	186.69	24.20 W	0.00	4 of 6 - Sale <sup>25</sup>
	100.000	1,249.96	09/16/20	1,436.04	186.08 W	0.00	5 of 6 - Sale <sup>25</sup>
	37.000	462.48	09/16/20	531.33	68.85 W	0.00	6 of 6 - Sale <sup>25</sup>
09/16/20	350.000	4,374.85	Various	4,840.06	465.21 W	0.00	Total of 6 transactions
09/17/20	60.000	1,079.96	09/16/20	899.45	...	180.51	Sale <sup>25</sup>

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Account 435007638

## 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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QURATE RETAIL, INC. SERIES B C OMMON STOCK / CUSIP: 74915M209 / Symbol: (cont'd)							
4 transactions for 09/18/20. Total proceeds and cost reported to the IRS.							
	27.000	304.82	09/16/20	404.75	...	-99.93	1 of 4 - Sale <sup>25</sup>
	20.000	225.79	09/16/20	299.82	...	-74.03	2 of 4 - Sale <sup>25</sup>
	13.000	146.76	09/16/20	194.89	...	-48.13	3 of 4 - Sale <sup>25</sup>
	10.000	112.90	09/16/20	149.91	...	-37.01	4 of 4 - Sale <sup>25</sup>
09/18/20	70.000	790.27	Various	1,049.37	...	-259.10	Total of 4 transactions
	<b>Security total:</b>	<b>14,564.82</b>		<b>15,137.22</b>	<b>465.21 W</b>	<b>-107.19</b>	
REPRO MED SYSTEMS, INC. COMMON STOCK / CUSIP: 759910102 / Symbol:							
06/08/20	10.000	110.00	04/22/20	115.00	...	-5.00	Sale <sup>25</sup>
ROLLS ROYCE HOLDINGS PLC SPONS ORED AMERICAN DEPOSITARY SHARE S / CUSIP: 775781206 / Symbol:							
3 transactions for 10/06/20. Total proceeds and cost reported to the IRS.							
	27.000	49.95	10/02/20	39.42	...	10.53	1 of 3 - Sale <sup>25</sup>
	100.000	184.98	10/02/20	146.00	...	38.98	2 of 3 - Sale <sup>25</sup>
	562.000	1,039.61	10/02/20	820.52	...	219.09	3 of 3 - Sale <sup>25</sup>
10/06/20	689.000	1,274.54	Various	1,005.94	...	268.60	Total of 3 transactions
6 transactions for 10/19/20. Total proceeds and cost reported to the IRS.							
	1.000	2.80	10/02/20	1.46	...	1.34	1 of 6 - Sale <sup>25</sup>
	250.000	699.95	10/09/20	700.00	...	-0.05	2 of 6 - Sale <sup>25</sup>
	3.000	8.40	10/09/20	8.40	...	0.00	3 of 6 - Sale <sup>25</sup>
	45.000	126.00	10/09/20	126.00	...	0.00	4 of 6 - Sale <sup>25</sup>
	1.000	2.80	10/09/20	2.80	...	0.00	5 of 6 - Sale <sup>25</sup>
	50.000	140.00	10/09/20	140.00	...	0.00	6 of 6 - Sale <sup>25</sup>
10/19/20	350.000	979.95	Various	978.66	...	1.29	Total of 6 transactions
11/03/20	1.000	2.82	10/09/20	2.80	...	0.02	Sale <sup>25</sup>
	<b>Security total:</b>	<b>2,257.31</b>		<b>1,987.40</b>	...	<b>269.91</b>	
SPDR S&P 500 ETF TRUST / CUSIP: 78462F103 / Symbol:							
03/27/20	3.000	779.98	03/24/20	714.00	...	65.98	Sale <sup>25</sup>
04/13/20	1.000	275.50	04/09/20	278.00	2.50 W	0.00	Sale <sup>25</sup>
04/24/20	1.000	280.60	04/15/20	280.30	...	0.30	Sale <sup>25</sup>
	<b>Security total:</b>	<b>1,336.08</b>		<b>1,272.30</b>	<b>2.50 W</b>	<b>66.28</b>	

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Robinhood Securities LLC

Account 435007638

**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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SPDR DOW JONES INDUSTRIAL AVER AGE ETF TRUST / CUSIP: 78467X109 / Symbol:							
05/13/20	2.000	472.30	05/12/20	482.76	...	-10.46	Sale <sup>25</sup>
SSR MINING INC. COMMON STOCK / CUSIP: 784730103 / Symbol:							
07/17/20	11.000	234.31	04/22/20	184.25	...	50.06	Sale <sup>25</sup>
11/05/20	1.000	20.05	04/22/20	16.75	...	3.30	Sale <sup>25</sup>
	<b>Security total:</b>	<b>254.36</b>		<b>201.00</b>	...	<b>53.36</b>	
SALESFORCE.COM, INC. / CUSIP: 79466L302 / Symbol:							
<i>2 transactions for 03/17/20. Total proceeds and cost reported to the IRS.</i>							
	1.000	132.00	03/16/20	131.00	...	1.00	1 of 2 - Sale <sup>25</sup>
	1.000	132.00	03/16/20	131.00	...	1.00	2 of 2 - Sale <sup>25</sup>
03/17/20	2.000	264.00	Various	262.00	...	2.00	Total of 2 transactions
<i>2 transactions for 03/19/20. Total proceeds and cost reported to the IRS.</i>							
	1.000	135.00	03/18/20	123.00	...	12.00	1 of 2 - Sale <sup>25</sup>
	1.000	135.00	03/18/20	123.00	...	12.00	2 of 2 - Sale <sup>25</sup>
03/19/20	2.000	270.00	Various	246.00	...	24.00	Total of 2 transactions
	<b>Security total:</b>	<b>534.00</b>		<b>508.00</b>	...	<b>26.00</b>	
SANCHEZ MIDSTREAM PARTNERS LP / CUSIP: 79971C201 / Symbol:							
<i>6 transactions for 10/09/20. Total proceeds and cost reported to the IRS.</i>							
	18.000	23.76	10/09/20	21.78	...	1.98	1 of 6 - Sale <sup>25</sup>
	25.000	33.00	10/09/20	30.25	...	2.75	2 of 6 - Sale <sup>25</sup>
	100.000	131.98	10/09/20	121.00	...	10.98	3 of 6 - Sale <sup>25</sup>
	129.000	170.26	10/09/20	156.09	...	14.17	4 of 6 - Sale <sup>25</sup>
	357.000	471.18	10/09/20	431.97	...	39.21	5 of 6 - Sale <sup>25</sup>
	371.000	489.68	10/09/20	448.91	...	40.77	6 of 6 - Sale <sup>25</sup>
10/09/20	1,000.000	1,319.86	Various	1,210.00	...	109.86	Total of 6 transactions
SANDSTORM GOLD LTD / CUSIP: 80013R206 / Symbol:							
07/17/20	19.000	185.25	05/08/20	153.14	...	32.11	Sale <sup>25</sup>
<i>2 transactions for 08/04/20. Total proceeds and cost reported to the IRS.</i>							
	1.000	9.73	05/08/20	8.06	...	1.67	1 of 2 - Sale <sup>25</sup>
	48.000	467.12	07/31/20	472.80	...	-5.68	2 of 2 - Sale <sup>25</sup>
08/04/20	49.000	476.85	Various	480.86	...	-4.01	Total of 2 transactions

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Account 435007638

## 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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SANDSTORM GOLD LTD / CUSIP: 80013R206 / Symbol: (cont'd)							
08/04/20	51.000	496.31	07/31/20	502.35	1.30 W	-4.74	Sale <sup>25</sup>
09/18/20	11.000	102.63	07/31/20	109.65	...	-7.02	Sale <sup>25</sup>
	<b>Security total:</b>	<b>1,261.04</b>		<b>1,246.00</b>	<b>1.30 W</b>	<b>16.34</b>	
SCYNEXIS, INC. COMMON STOCK / CUSIP: 811292101 / Symbol:							
06/29/20	80.000	60.79	06/24/20	62.71	...	-1.92	Sale <sup>25</sup>
SINTX TECHNOLOGIES, INC. COMMON STOCK / CUSIP: 829392307 / Symbol:							
2 transactions for 08/06/20. Total proceeds and cost reported to the IRS.							
	200.000	500.08	08/05/20	516.00	...	-15.92	1 of 2 - Sale <sup>25</sup>
	100.000	250.04	08/05/20	258.00	...	-7.96	2 of 2 - Sale <sup>25</sup>
08/06/20	300.000	750.12	Various	774.00	...	-23.88	Total of 2 transactions
SPARTAN ENERGY ACQUISITION CORP. / CUSIP: 846784106 / Symbol:							
2 transactions for 09/16/20. Total proceeds and cost reported to the IRS.							
	19.000	319.20	09/02/20	273.41	...	45.79	1 of 2 - Sale <sup>25</sup>
	100.000	1,679.95	09/02/20	1,439.00	...	240.95	2 of 2 - Sale <sup>25</sup>
09/16/20	119.000	1,999.15	Various	1,712.41	...	286.74	Total of 2 transactions
SPIRIT AEROSYSTEMS HOLDINGS, INC. / CUSIP: 848574109 / Symbol:							
07/08/20	7.000	156.45	06/23/20	164.15	...	-7.70	Sale <sup>25</sup>
TARGET CORPORATION / CUSIP: 87612E106 / Symbol:							
2 transactions for 05/29/20. Total proceeds and cost reported to the IRS.							
	1.000	119.82	05/20/20	119.60	...	0.22	1 of 2 - Sale <sup>25</sup>
	1.000	120.05	05/20/20	119.60	...	0.45	2 of 2 - Sale <sup>25</sup>
05/29/20	2.000	239.87	Various	239.20	...	0.67	Total of 2 transactions
TESLA, INC. COMMON STOCK / CUSIP: 88160R101 / Symbol:							
02/28/20	1.000	634.98	02/28/20	625.81	...	9.17	Sale <sup>25</sup>
03/27/20	1.000	522.98	03/03/20	760.00	237.02 W	0.00	Sale <sup>25</sup>
04/02/20	1.000	507.98	04/02/20	695.02	187.04 W	0.00	Sale <sup>25</sup>
04/13/20	1.000	584.44	04/08/20	737.04	152.60 W	0.00	Sale <sup>25</sup>
05/05/20	1.000	781.98	04/14/20	840.62	...	-58.64	Sale <sup>25</sup>
05/05/20	1.000	781.98	04/14/20	887.60	105.62 W	0.00	Sale <sup>25</sup>

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**Proceeds from Broker and Barter Exchange Transactions**

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

(continued)

02/14/2021

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TESLA, INC. COMMON STOCK / CUSIP: 88160R101 / Symbol: (cont'd)							
08/11/20	1.000	1,396.27	07/24/20	1,385.00	...	11.27	Sale <sup>25</sup>
08/11/20	1.000	1,399.96	07/24/20	1,410.00	10.04 W	0.00	Sale <sup>25</sup>
08/12/20	1.000	1,474.96	07/29/20	1,540.04	65.08 W	0.00	Sale <sup>25</sup>
09/14/20	2.000	833.98	09/02/20	816.00	...	17.98	Sale <sup>25</sup>
09/14/20	1.000	416.99	09/02/20	473.08	56.09 W	0.00	Sale <sup>25</sup>
09/16/20	5.000	2,234.95	09/02/20	2,040.00	...	194.95	Sale <sup>25</sup>
2 transactions for 10/08/20. Total proceeds and cost reported to the IRS.							
	1.000	434.99	09/17/20	486.09	...	-51.10	1 of 2 - Sale <sup>25</sup>
	1.000	434.99	09/17/20	430.00	...	4.99	2 of 2 - Sale <sup>25</sup>
10/08/20	2.000	869.98	Various	916.09	...	-46.11	Total of 2 transactions
<b>Security total:</b>		<b>12,441.43</b>		<b>13,126.30</b>	<b>813.49 W</b>	<b>128.62</b>	
THE ODP CORPORATION COMMON STOCK / CUSIP: 88337F105 / Symbol:							
2 transactions for 07/07/20. Total proceeds and cost reported to the IRS.							
	3.000	63.90	06/30/20	71.40	...	-7.50	1 of 2 - Sale <sup>25</sup>
	2.000	42.60	06/30/20	47.60	...	-5.00	2 of 2 - Sale <sup>25</sup>
07/07/20	5.000	106.50	Various	119.00	...	-12.50	Total of 2 transactions
TITAN PHARMACEUTICALS, INC. COMMON STOCK / CUSIP: 888314507 / Symbol:							
3 transactions for 02/12/20. Total proceeds and cost reported to the IRS.							
	75.000	22.49	01/15/20	20.16	...	2.33	1 of 3 - Sale <sup>25</sup>
	11.000	3.30	01/21/20	4.07	...	-0.77	2 of 3 - Sale <sup>25</sup>
	1.000	0.30	01/21/20	0.37	...	-0.07	3 of 3 - Sale <sup>25</sup>
02/12/20	87.000	26.09	Various	24.60	...	1.49	Total of 3 transactions
TONIX PHARMACEUTICALS HOLDING CORP. COMMON STOCK / CUSIP: 890260706 / Symbol:							
07/06/20	150.000	88.48	06/29/20	93.41	...	-4.93	Sale <sup>25</sup>
TORTOISE ACQUISITION CORP. CLASS A COMMON STOCK / CUSIP: 89154L100 / Symbol:							
09/16/20	22.000	1,032.65	09/14/20	965.36	...	67.29	Sale <sup>25</sup>
5 transactions for 09/28/20. Total proceeds and cost reported to the IRS.							
	1.000	52.00	09/14/20	43.88	...	8.12	1 of 5 - Sale <sup>25</sup>
	23.000	1,195.97	09/24/20	947.60	...	248.37	2 of 5 - Sale <sup>25</sup>
	6.000	311.99	09/25/20	260.82	...	51.17	3 of 5 - Sale <sup>25</sup>

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

(continued)

02/14/2021

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TORTOISE ACQUISITION CORP. CLA SS A COMMON STOCK / CUSIP: 89154L100 / Symbol: (cont'd)							
	7.000	361.96	09/25/20	304.29	...	57.67	4 of 5 - Sale <sup>25</sup>
	11.000	568.79	09/25/20	478.17	...	90.62	5 of 5 - Sale <sup>25</sup>
09/28/20	48.000	2,490.71	Various	2,034.76	...	455.95	Total of 5 transactions
	<b>Security total:</b>	<b>3,523.36</b>		<b>3,000.12</b>	...	<b>523.24</b>	
TRANSLATE BIO, INC. COMMON STO CK / CUSIP: 89374L104 / Symbol:							
06/05/20	30.000	436.91	06/03/20	520.50	...	-83.59	Sale <sup>25</sup>
TWITTER, INC. / CUSIP: 90184L102 / Symbol:							
07/24/20	4.000	152.48	10/17/19	158.16	...	-5.68	Sale <sup>25</sup>
UBER TECHNOLOGIES, INC. / CUSIP: 90353T100 / Symbol:							
03/17/20	2.000	40.20	03/16/20	39.60	...	0.60	Sale <sup>25</sup>
UNITED AIRLINES HOLDINGS, INC. COMMON STOCK / CUSIP: 910047109 / Symbol:							
04/13/20	5.000	148.50	04/08/20	139.35	...	9.15	Sale <sup>25</sup>
04/13/20	8.000	237.60	04/09/20	252.80	15.20 W	0.00	Sale <sup>25</sup>
04/22/20	5.000	130.00	04/15/20	168.50	38.50 W	0.00	Sale <sup>25</sup>
	2 transactions for 04/24/20. Total proceeds and cost reported to the IRS.						
	3.000	74.31	04/15/20	101.10	26.79 W	0.00	1 of 2 - Sale <sup>25</sup>
	2.000	49.54	04/15/20	63.60	14.06 W	0.00	2 of 2 - Sale <sup>25</sup>
04/24/20	5.000	123.85	Various	164.70	40.85 W	0.00	Total of 2 transactions
	5 transactions for 05/14/20. Total proceeds and cost reported to the IRS.						
	5.000	99.50	05/13/20	142.50	...	-43.00	1 of 5 - Sale <sup>25</sup>
	2.000	39.80	05/13/20	59.46	...	-19.66	2 of 5 - Sale <sup>25</sup>
	2.000	39.80	05/13/20	55.66	...	-15.86	3 of 5 - Sale <sup>25</sup>
	1.000	19.90	05/13/20	29.73	...	-9.83	4 of 5 - Sale <sup>25</sup>
	5.000	102.00	05/13/20	104.00	...	-2.00	5 of 5 - Sale <sup>25</sup>
05/14/20	15.000	301.00	Various	391.35	...	-90.35	Total of 5 transactions
	<b>Security total:</b>	<b>940.95</b>		<b>1,116.70</b>	<b>94.55 W</b>	<b>-81.20</b>	
UNITED PARCEL SERVICE, INC. CL ASS B / CUSIP: 911312106 / Symbol:							
11/06/20	20.000	3,326.92	10/21/20	3,473.60	...	-146.68	Sale <sup>25</sup>

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Robinhood Securities LLC

Account 435007638

## 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
UNITED STATES OIL FUND, LP / CUSIP: 91232N108 / Symbol:							
04/22/20	150.000	430.48	04/21/20	381.00	...	49.48	Sale <sup>25</sup>
UNITED STATES OIL FUND, LP / CUSIP: 91232N207 / Symbol:							
2 transactions for 07/15/20. Total proceeds and cost reported to the IRS.							
	6.000	175.92	04/28/20	105.60	...	70.32	1 of 2 - Sale <sup>25</sup>
	5.000	146.60	05/29/20	125.00	...	21.60	2 of 2 - Sale <sup>25</sup>
07/15/20	11.000	322.52	Various	230.60	...	91.92	Total of 2 transactions
09/18/20	1.000	29.21	05/29/20	25.00	...	4.21	Sale <sup>25</sup>
	<b>Security total:</b>	<b>351.73</b>		<b>255.60</b>	...	<b>96.13</b>	
UNITED STATES STEEL CORPORATIO N / CUSIP: 912909108 / Symbol:							
06/23/20	50.000	403.00	06/22/20	387.37	...	15.63	Sale <sup>25</sup>
USIO, INC. COMMON STOCK / CUSIP: 917313108 / Symbol:							
2 transactions for 07/15/20. Total proceeds and cost reported to the IRS.							
	5.000	10.75	05/29/20	11.70	...	-0.95	1 of 2 - Sale <sup>25</sup>
	5.000	10.75	05/29/20	11.70	...	-0.95	2 of 2 - Sale <sup>25</sup>
07/15/20	10.000	21.50	Various	23.40	...	-1.90	Total of 2 transactions
VANECK VECTORS GOLD MINERS ETF / CUSIP: 92189F106 / Symbol:							
07/15/20	9.000	348.30	04/13/20	276.66	...	71.64	Sale <sup>25</sup>
2 transactions for 08/24/20. Total proceeds and cost reported to the IRS.							
	1.000	41.00	04/13/20	30.74	...	10.26	1 of 2 - Sale <sup>25</sup>
	9.000	369.00	08/11/20	360.72	...	8.28	2 of 2 - Sale <sup>25</sup>
08/24/20	10.000	410.00	Various	391.46	...	18.54	Total of 2 transactions
10/19/20	1.000	39.91	08/11/20	40.08	...	-0.17	Sale <sup>25</sup>
	<b>Security total:</b>	<b>798.21</b>		<b>708.20</b>	...	<b>90.01</b>	
VAREX IMAGING CORPORATION COMM ON STOCK / CUSIP: 92214X106 / Symbol:							
2 transactions for 06/05/20. Total proceeds and cost reported to the IRS.							
	14.000	243.32	05/19/20	247.10	2.43 W	-1.35	1 of 2 - Sale <sup>25</sup>
	1.000	17.38	05/19/20	17.65	0.27 W	0.00	2 of 2 - Sale <sup>25</sup>
06/05/20	15.000	260.70	Various	264.75	2.70 W	-1.35	Total of 2 transactions

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Robinhood Securities LLC

Account 435007638

## 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
VAREX IMAGING CORPORATION COMMON STOCK / CUSIP: 92214X106 / Symbol: (cont'd)							
2 transactions for 07/06/20. Total proceeds and cost reported to the IRS.							
	9.000	137.02	06/22/20	139.23	...	-2.21	1 of 2 - Sale <sup>25</sup>
	1.000	15.23	06/22/20	15.47	...	-0.24	2 of 2 - Sale <sup>25</sup>
07/06/20	10.000	152.25	Various	154.70	...	-2.45	Total of 2 transactions
	<b>Security total:</b>	<b>412.95</b>		<b>419.45</b>	<b>2.70 W</b>	<b>-3.80</b>	
VAXART, INC COMMON STOCK / CUSIP: 92243A200 / Symbol:							
07/09/20	60.000	490.19	07/08/20	482.40	...	7.79	Sale <sup>25</sup>
VERASTEM, INC. COMMON STOCK / CUSIP: 92337C104 / Symbol:							
03/06/20	14.000	42.00	01/15/20	28.28	...	13.72	Sale <sup>25</sup>
03/19/20	30.000	52.50	03/18/20	47.40	...	5.10	Sale <sup>25</sup>
3 transactions for 11/06/20. Total proceeds and cost reported to the IRS.							
	145.000	178.33	04/27/20	332.05	...	-153.72	1 of 3 - Sale <sup>25</sup>
	100.000	122.99	04/27/20	229.00	...	-106.01	2 of 3 - Sale <sup>25</sup>
	55.000	67.64	04/27/20	125.95	...	-58.31	3 of 3 - Sale <sup>25</sup>
11/06/20	300.000	368.96	Various	687.00	...	-318.04	Total of 3 transactions
	<b>Security total:</b>	<b>463.46</b>		<b>762.68</b>	...	<b>-299.22</b>	
VIEWRAY, INC. COMMON STOCK / CUSIP: 92672L107 / Symbol:							
3 transactions for 08/05/20. Total proceeds and cost reported to the IRS.							
	50.000	173.50	08/04/20	178.50	...	-5.00	1 of 3 - Sale <sup>25</sup>
	26.000	88.40	08/04/20	92.82	...	-4.42	2 of 3 - Sale <sup>25</sup>
	24.000	81.60	08/04/20	85.68	...	-4.08	3 of 3 - Sale <sup>25</sup>
08/05/20	100.000	343.50	Various	357.00	...	-13.50	Total of 3 transactions
VISTA GOLD CORP. / CUSIP: 927926303 / Symbol:							
2 transactions for 07/15/20. Total proceeds and cost reported to the IRS.							
	69.000	60.16	04/13/20	44.85	...	15.31	1 of 2 - Sale <sup>25</sup>
	130.000	113.33	04/13/20	85.80	...	27.53	2 of 2 - Sale <sup>25</sup>
07/15/20	199.000	173.49	Various	130.65	...	42.84	Total of 2 transactions
3 transactions for 08/24/20. Total proceeds and cost reported to the IRS.							
	1.000	1.19	04/13/20	0.66	...	0.53	1 of 3 - Sale <sup>25</sup>
	600.000	713.91	07/20/20	538.98	...	174.93	2 of 3 - Sale <sup>25</sup>

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Robinhood Securities LLC

Account 435007638

**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
VISTA GOLD CORP. / CUSIP: 927926303 / Symbol: (cont'd)							
	499.000	593.74	08/11/20	573.85	...	19.89	3 of 3 - Sale <sup>25</sup>
08/24/20	1,100.000	1,308.84	Various	1,113.49	...	195.35	Total of 3 transactions
	12 transactions for 09/23/20. Total proceeds and cost reported to the IRS.						
	1.000	1.12	08/11/20	1.15	...	-0.03	1 of 12 - Sale <sup>25</sup>
	100.000	111.99	09/21/20	118.74	...	-6.75	2 of 12 - Sale <sup>25</sup>
	100.000	111.99	09/21/20	118.74	...	-6.75	3 of 12 - Sale <sup>25</sup>
	100.000	111.99	09/21/20	118.74	...	-6.75	4 of 12 - Sale <sup>25</sup>
	100.000	111.99	09/21/20	118.74	...	-6.75	5 of 12 - Sale <sup>25</sup>
	100.000	111.99	09/21/20	118.74	...	-6.75	6 of 12 - Sale <sup>25</sup>
	100.000	111.99	09/21/20	118.74	...	-6.75	7 of 12 - Sale <sup>25</sup>
	100.000	111.99	09/21/20	118.74	...	-6.75	8 of 12 - Sale <sup>25</sup>
	99.000	110.87	09/21/20	117.55	...	-6.68	9 of 12 - Sale <sup>25</sup>
	41.000	45.92	09/21/20	48.68	...	-2.76	10 of 12 - Sale <sup>25</sup>
	8.000	8.96	09/21/20	9.50	...	-0.54	11 of 12 - Sale <sup>25</sup>
	1.000	1.12	09/21/20	1.19	...	-0.07	12 of 12 - Sale <sup>25</sup>
09/23/20	850.000	951.92	Various	1,009.25	...	-57.33	Total of 12 transactions
11/04/20	1.000	1.08	09/21/20	1.19	...	-0.11	Sale <sup>25</sup>
	<b>Security total:</b>	<b>2,435.33</b>		<b>2,254.58</b>	...	<b>180.75</b>	
WHITBREAD PLC AMERICAN DEPOSIT ARY RECEIPTS - SPONSORED (UNIT ED KINGDOM) / CUSIP: 96342K100 / Symbol:							
07/06/20	25.000	189.00	06/11/20	182.00	...	7.00	Sale <sup>25</sup>
SPDR GOLD MINISHARES / CUSIP: 98149E204 / Symbol: / Note: CL							
06/30/20	5.000	88.15	04/23/20	86.40	...	1.75	3- Proceeds from collectibles [X] Sale <sup>25</sup>
YAMANA GOLD, INC. / CUSIP: 98462Y100 / Symbol:							
06/01/20	190.000	1,035.45	05/07/20	944.30	...	91.15	Sale <sup>25</sup>
	2 transactions for 07/15/20. Total proceeds and cost reported to the IRS.						
	10.000	55.02	05/07/20	49.70	...	5.32	1 of 2 - Sale <sup>25</sup>
	70.000	385.17	06/05/20	349.29	...	35.88	2 of 2 - Sale <sup>25</sup>
07/15/20	80.000	440.19	Various	398.99	...	41.20	Total of 2 transactions

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Robinhood Securities LLC

Account 435007638

## 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
YAMANA GOLD, INC. / CUSIP: 98462Y100 / Symbol: (cont'd)							
2 transactions for 07/30/20. Total proceeds and cost reported to the IRS.							
	10.000	63.32	06/05/20	49.90	...	13.42	1 of 2 - Sale <sup>25</sup>
	119.000	753.53	07/27/20	778.26	...	-24.73	2 of 2 - Sale <sup>25</sup>
07/30/20	129.000	816.85	Various	828.16	...	-11.31	Total of 2 transactions
10/29/20	1.000	5.44	07/27/20	6.54	...	-1.10	Sale <sup>25</sup>
	<b>Security total:</b>	<b>2,297.93</b>		<b>2,177.99</b>	...	<b>119.94</b>	
ZOMEDICA PHARMACEUTICALS CORP. / CUSIP: 98979F107 / Symbol:							
09/02/20	5,000.000	560.88	08/05/20	783.50	...	-222.62	Sale <sup>25</sup>
ZYNGA INC. CLASS A COMMON STOC K / CUSIP: 98986T108 / Symbol:							
02/11/20	7.000	47.60	01/21/20	46.20	...	1.40	Sale <sup>25</sup>
FRESH DEL MONTE PRODUCE INC. / CUSIP: G36738105 / Symbol:							
2 transactions for 06/03/20. Total proceeds and cost reported to the IRS.							
	1.000	24.69	05/19/20	22.12	...	2.57	1 of 2 - Sale <sup>25</sup>
	9.000	222.21	05/19/20	199.08	...	23.13	2 of 2 - Sale <sup>25</sup>
06/03/20	10.000	246.90	Various	221.20	...	25.70	Total of 2 transactions
2 transactions for 07/06/20. Total proceeds and cost reported to the IRS.							
	2.000	48.02	06/24/20	46.55	...	1.47	1 of 2 - Sale <sup>25</sup>
	3.000	72.03	06/24/20	69.83	...	2.20	2 of 2 - Sale <sup>25</sup>
07/06/20	5.000	120.05	Various	116.38	...	3.67	Total of 2 transactions
	<b>Security total:</b>	<b>366.95</b>		<b>337.58</b>	...	<b>29.37</b>	
EROS STX GLOBAL CORPORATION / CUSIP: G3788M114 / Symbol:							
07/31/20	50.000	156.00	07/30/20	148.50	...	7.50	Sale <sup>25</sup>
08/06/20	200.000	521.96	07/30/20	594.00	...	-72.04	Sale <sup>25</sup>
	<b>Security total:</b>	<b>677.96</b>		<b>742.50</b>	...	<b>-64.54</b>	
INVESCO LTD / CUSIP: G491BT108 / Symbol:							
2 transactions for 04/24/20. Total proceeds and cost reported to the IRS.							
	1.000	7.70	04/23/20	7.50	...	0.20	1 of 2 - Sale <sup>25</sup>
	5.000	38.50	04/23/20	38.00	...	0.50	2 of 2 - Sale <sup>25</sup>
04/24/20	6.000	46.20	Various	45.50	...	0.70	Total of 2 transactions

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Account 435007638

## 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
KAIXIN AUTO HOLDINGS ORDINARY SHARE / CUSIP: G5223X100 / Symbol:							
4 transactions for 10/19/20. Total proceeds and cost reported to the IRS.							
	99.000	722.67	10/19/20	752.46	...	-29.79	1 of 4 - Sale <sup>25</sup>
	100.000	729.97	10/19/20	750.03	...	-20.06	2 of 4 - Sale <sup>25</sup>
	1.000	7.30	10/19/20	7.60	...	-0.30	3 of 4 - Sale <sup>25</sup>
	500.000	4,029.85	10/19/20	3,900.00	...	129.85	4 of 4 - Sale <sup>25</sup>
10/19/20	700.000	5,489.79	Various	5,410.09	...	79.70	Total of 4 transactions
4 transactions for 10/19/20. Total proceeds and cost reported to the IRS.							
	100.000	729.97	10/19/20	740.00	10.03 W	0.00	1 of 4 - Sale <sup>25</sup>
	99.000	722.67	10/19/20	742.53	19.86 W	0.00	2 of 4 - Sale <sup>25</sup>
	1.000	7.30	10/19/20	7.50	0.20 W	0.00	3 of 4 - Sale <sup>25</sup>
	100.000	729.97	10/19/20	740.00	10.03 W	0.00	4 of 4 - Sale <sup>25</sup>
10/19/20	300.000	2,189.91	Various	2,230.03	40.12 W	0.00	Total of 4 transactions
	<b>Security total:</b>	<b>7,679.70</b>		<b>7,640.12</b>	<b>40.12 W</b>	<b>79.70</b>	
WINS FIN HLDGS INC ORDINARY SH ARES / CUSIP: G97223104 / Symbol:							
06/24/20	5.000	260.00	06/24/20	236.50	...	23.50	Sale <sup>25</sup>
NANO-X IMAGING LTD ORDINARY SH ARES / CUSIP: M70700105 / Symbol:							
09/18/20	9.000	292.50	09/17/20	260.46	...	32.04	Sale <sup>25</sup>
ROYAL CARIBBEAN GROUP / CUSIP: V7780T103 / Symbol:							
2 transactions for 04/08/20. Total proceeds and cost reported to the IRS.							
	1.000	35.00	04/08/20	35.00	...	0.00	1 of 2 - Sale <sup>25</sup>
	2.000	70.00	04/08/20	70.00	...	0.00	2 of 2 - Sale <sup>25</sup>
04/08/20	3.000	105.00	Various	105.00	...	0.00	Total of 2 transactions
04/13/20	5.000	178.22	04/09/20	209.00	...	-30.78	Sale <sup>25</sup>
	<b>Security total:</b>	<b>283.22</b>		<b>314.00</b>	...	<b>-30.78</b>	
<b>Totals :</b>		<b>157,658.14</b>		<b>158,822.56</b>	<b>2,424.36 W</b>	<b>1,259.94</b>	

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Robinhood Securities LLC

Account 435007638

## Proceeds from Broker and Barter Exchange Transactions

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

(continued)

02/14/2021

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

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

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	7- Loss not allowed (X) also not reported (Z)	Gain or loss(-) & Additional information
ABRAXAS PETROLEUM CORPORATION COMMON STOCK / CUSIP: 003830304 / Symbol:							
11/04/20	4.000	6.12	08/22/19	45.29	...	-39.17	Sale <sup>25</sup>
PARETEUM CORPORATION COMMON STOCK / CUSIP: 69946T207 / Symbol:							
2 transactions for 11/03/20. Total proceeds and cost reported to the IRS.							
	12.000	7.62	08/07/19	40.08	...	-32.46	1 of 2 - Sale <sup>25</sup>
	8.000	5.04	08/07/19	26.72	...	-21.68	2 of 2 - Sale <sup>25</sup>
11/03/20	20.000	12.66	Various	66.80	...	-54.14	Total of 2 transactions
SANDRIDGE MISSISSIPPIAN TR II COMMON UNITS REPRESENTING BENEFICIAL INTERESTS / CUSIP: 80007V106 / Symbol:							
2 transactions for 11/10/20. Total proceeds and cost reported to the IRS.							
	91.000	11.91	07/12/19	58.24	...	-46.33	1 of 2 - Sale <sup>25</sup>
	58.000	7.59	07/12/19	36.83	...	-29.24	2 of 2 - Sale <sup>25</sup>
11/10/20	149.000	19.50	Various	95.07	...	-75.57	Total of 2 transactions
<b>Totals :</b>		<b>38.28</b>		<b>207.16</b>		<b>-168.88</b>	

**UNDETERMINED TERM TRANSACTIONS FOR NONCOVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Line 5)**

Report on Form 8949, Part I with Box B checked or Part II with Box E checked. Basis is NOT provided to the IRS. (Line 12)

"Date acquired," "Cost or other basis," "Accrued market discount," "Wash sale loss disallowed" and "Gain or loss (-)" are 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	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	7- Loss not allowed (X) also not reported (Z)	Gain or loss(-) & Additional information
ISHARES GOLD TRUST / CUSIP: 464285105 / Symbol: / Note: CL							
04/30/20	0.000	0.06	N/A	...	...	...	Principal payment <sup>16</sup> Cost Basis Factor: 0.000195792
SPDR GOLD MINISHARES / CUSIP: 98149E204 / Symbol: / Note: CL							
05/12/20	0.000	0.01	N/A	...	...	...	Principal payment <sup>16</sup> Cost Basis Factor: 0.000141465
06/12/20	0.000	0.01	N/A	...	...	...	Principal payment <sup>16</sup> Cost Basis Factor: 0.000138476
	<b>Security total:</b>	<b>0.02</b>		...	...	...	
<b>Totals :</b>		<b>0.08</b>		...	...	...	

\* 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 435007638

**Proceeds Not Reported to the IRS**

2020

02/14/2021

This section of your tax information statement provides proceeds transactions that are not reported to the IRS, but may have a tax impact. They are grouped by term (long, short or undetermined). For tax lots whose term is undetermined, use your historical documents to establish the cost basis and date of purchase.

Several columns include both an amount and a qualifying notation to its right. Where proceeds are the result of an option exercise or assignment, there is indication of whether the amount is N (net of option premium) or G (Gross). Accrued Market Discount and Wash Sale Loss Disallowed appear in the same column, identified by the letters D or W, respectively. Where you are not permitted to recognize a loss, an indication of X (change in control or capital structure) or Z (other corporate action) is used.

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

**SHORT TERM TRANSACTIONS [Ordinary gains or losses are identified in the Additional information column]**

Report on Form 8949, Part I, with Box C checked.

**Description of property**

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
BIOCEPT, INC. COMMON STOCK / CUSIP: 09072V501 / Symbol: 09/14/20	0.200	0.91	08/17/20	1.61	...	-0.70	Gain or loss
GROUPON, INC. COMMON STOCK / CUSIP: 399473206 / Symbol: 06/18/20	0.450	9.49	02/20/20	16.02	...	-6.53	Gain or loss
OSTK DIGITAL DIVIDEND / CUSIP: 690370507 / Symbol: 06/04/20	0.700	7.18	10/18/19	4.96	...	2.22	Gain or loss
UNITED STATES OIL FUND, LP / CUSIP: 91232N207 / Symbol: 05/12/20	0.875	14.31	04/28/20	15.40	...	-1.09	Gain or loss
<b>Totals:</b>		<b>31.89</b>		<b>37.99</b>	...	<b>-6.10</b>	

Robinhood Securities LLC

Account 435007638

**Proceeds Not Reported to the IRS**

2020

(continued)

02/14/2021

**LONG TERM TRANSACTIONS [Ordinary gains or losses are identified in the Additional information column]**

Report on Form 8949, Part II, with Box F checked.

**Description of property**

<b>Date sold or disposed</b>	<b>Quantity</b>	<b>Proceeds &amp; Reported (G)ross or (N)et</b>	<b>Date acquired</b>	<b>Cost or other basis</b>	<b>Accrued mkt disc (D) &amp; Wash sale loss disallowed (W)</b>	<b>Gain or loss(-) &amp; Loss not allowed (X) also not reported (Z)</b>	<b>Additional information</b>
GROUPON, INC. COMMON STOCK / CUSIP: 399473206 / Symbol: 06/18/20	0.050	1.05	05/24/19	3.53	...	-2.48	Gain or loss
<b>Totals:</b>		<b>1.05</b>		<b>3.53</b>	...	<b>-2.48</b>	

Robinhood Securities LLC

Account 435007638

## Detail for Dividends and Distributions

2020

02/14/2021

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

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

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

Security description	CUSIP and/or symbol	State	Date	Amount	Transaction type	Notes
ALAMOS GOLD INC. CLASS A COMMON SHARES	011532108		06/30/20	0.15	Nonqualified dividend	
			06/30/20	-0.02	Foreign tax withheld-CA	
			09/30/20	0.02	Nonqualified dividend	
				<b>0.17</b>	<b>Total Dividends &amp; distributions</b>	
				<b>-0.02</b>	<b>Total Foreign tax withheld</b>	
BARRICK GOLD CORP.	067901108		06/15/20	0.56	Nonqualified dividend	
			06/15/20	-0.08	Foreign tax withheld-CA	
				<b>0.56</b>	<b>Total Dividends &amp; distributions</b>	
				<b>-0.08</b>	<b>Total Foreign tax withheld</b>	
B2GOLD CORP.	11777Q209		07/07/20	0.52	Nonqualified dividend	
			07/07/20	-0.08	Foreign tax withheld-CA	
			09/30/20	0.04	Nonqualified dividend	
			09/30/20	-0.01	Foreign tax withheld-CA	
				<b>0.56</b>	<b>Total Dividends &amp; distributions</b>	
	<b>-0.09</b>	<b>Total Foreign tax withheld</b>				
CATERPILLAR INC.	149123101		05/20/20	5.15	Qualified dividend	
HECLA MINING COMPANY	422704106		06/02/20	0.25	Qualified dividend	
			09/01/20	1.20	Qualified dividend	
				<b>1.45</b>	<b>Total Dividends &amp; distributions</b>	
KIRKLAND LAKE GOLD LTD ORDINARY	49741E100		07/13/20	1.00	Nonqualified dividend	
			07/13/20	-0.15	Foreign tax withheld-CA	
				<b>1.00</b>	<b>Total Dividends &amp; distributions</b>	
	<b>-0.15</b>	<b>Total Foreign tax withheld</b>				
MECHEL PAO AMERICAN DEPOSITORY SHARES (EACH REPRESENTING ONE -HALF OF A PREFERRED SHARE)	583840509		10/19/20	0.02	Nonqualified dividend	

Robinhood Securities LLC

Account 435007638

## Detail for Dividends and Distributions

2020

(continued)

02/14/2021

Security description	CUSIP and/or symbol	State	Date	Amount	Transaction type	Notes
MICROSOFT CORPORATION COMMON S TOCK	594918104		03/12/20	1.02	Qualified dividend	
NEWMONT CORPORATION	651639106		06/18/20	0.75	Qualified dividend	
YAMANA GOLD, INC.	98462Y100		07/14/20	1.41	Nonqualified dividend	
			07/14/20	-0.21	Foreign tax withheld-CA	
			10/14/20	0.02	Nonqualified dividend	
				<b>1.43</b>	<b>Total Dividends &amp; distributions</b>	
				<b>-0.21</b>	<b>Total Foreign tax withheld</b>	
				<b>12.11</b>	<b>Total Dividends &amp; distributions</b>	
				<b>-0.55</b>	<b>Total Foreign tax withheld</b>	

Robinhood Securities LLC

Account 435007638

**Other Receipts and Reconciliations**

2020

02/14/2021

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

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

*These amounts are provided here to facilitate an accounting of all amounts received during the year and are totaled in the Reconciliations, Fees, Expenses and Expenditures found in the Summary Information at the beginning of the statement.*

<b>Security description</b>	<b>CUSIP and/or symbol</b>	<b>Date</b>	<b>Amount</b>	<b>Transaction type</b>	<b>Notes</b>
CNX MIDSTREAM PARTNERS LP	12654A101	05/15/20	0.91	Partnership distribution	
SANDRIDGE MISSISSIPPIAN TR II	80007V106	02/28/20	2.09	Partnership distribution	
COMMON UNITS REPRESENTING BENEFICIAL INTERESTS		05/29/20	2.24	Partnership distribution	
			4.33	Total Partnership distribution	
			<b>5.24</b>	<b>Total Partnership distribution</b>	

Robinhood Securities LLC

Account 435007638

**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
ISHARES GOLD TRUST	464285105	04/30/20	-0.06	Gross proceeds investment expense	15
SPDR GOLD MINISHARES	Note: CL 98149E204	05/12/20	-0.01	Gross proceeds investment expense	15
	Note: CL	06/12/20	-0.01	Gross proceeds investment expense	15
			-0.02	Total Gross proceeds investmnt exp	
			<b>-0.08</b>	<b>Total Gross proceeds investmnt exp</b>	

Robinhood Securities LLC

Account 435007638

## Foreign Income and Taxes Summary

2020

02/14/2021

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

Country	Security Description	CUSIP	Nonqualified	Dividends		Interest	Total Income	Tax
				Qualified				
CA	ALAMOS GOLD INC. CLASS A COMMO N SHARES	011532108	0.17	0.00	0.00	0.00	0.17	-0.02
CA	BARRICK GOLD CORP.	067901108	0.56	0.00	0.00	0.00	0.56	-0.08
CA	B2GOLD CORP.	11777Q209	0.56	0.00	0.00	0.00	0.56	-0.09
CA	KIRKLAND LAKE GOLD LTD ORDINAR Y	49741E100	1.00	0.00	0.00	0.00	1.00	-0.15
CA	YAMANA GOLD, INC.	98462Y100	1.43	0.00	0.00	0.00	1.43	-0.21
<b>Total CANADA</b>			<b>3.72</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>3.72</b>	<b>-0.55</b>
RS	MECHEL PAO AMERICAN DEPOSITARY SHARES (EACH REPRESENTING ONE -HALF OF A PREFERRED SHARE)	583840509	0.02	0.00	0.00	0.00	0.02	0.00
<b>Total RUSSIA</b>			<b>0.02</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.02</b>	<b>0.00</b>
<b>Grand Total</b>	<b>Total Foreign Source Income*</b>			<b>3.74</b>				
	<b>Qualified Foreign Source Income**</b>			<b>0.00</b>				
	<b>Foreign Tax</b>							<b>-0.55</b>

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

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

Robinhood Securities LLC

Account 435007638

## Non-Reportable Actions

2020

02/14/2021

Security Description	CUSIP and/or symbol	Date	Quantity	Amount	Transaction type	Notes
ASANKO GOLD INC.	04341Y105	05/05/20	-87.00	0.00	Exchange	
FISKER INC.	33813J106	10/30/20	1.00	0.00	Exchange	
GALIANO GOLD INC.	36352H100	05/05/20	87.00	0.00	Exchange	
HYLIION HOLDINGS CORP.	449109107	10/02/20	21.00	0.00	Merger	
SPARTAN ENERGY ACQUISITION COR P.	846784106	10/30/20	-1.00	0.00	Exchange	
TORTOISE ACQUISITION CORP. CLA SS A COMMON STOCK	89154L100	10/02/20	-21.00	0.00	Merger	



- 15 Income or expense adjustment. This security is a widely held fixed investment trust (WHFIT). Items of income, deduction, and credit, and any other information shown on this statement must be taken into account in computing taxable income and credits on your income tax return(s).
- 16 This transaction represents the sale of assets from a Widely Held Fixed Investment Trust (WHFIT). The cost basis allocation factor is the value of the assets sold divided by the total net asset value of the trust. If you know your cost of the assets sold, use that to determine your gain/loss. Otherwise, determine your cost basis by multiplying your adjusted cost basis by the cost basis allocation factor. For example, if your adjusted basis is \$1,000 and the cost basis allocation factor is 0.005 your cost basis allocated to that sale is  $\$1,000 * 0.005$  or \$5. If there are subsequent sales of trust assets, your adjusted cost basis for the next sale is \$995. Sales are reported based on when and for how much the trust sold the asset. This may differ both in timing and amount from what is distributed. There are cases where the proceeds are used to pay expenses and there is no corresponding distribution. For more information refer to regulations section 1.671-5.
- 25 Tax lot closed on a first in first out basis.
- CL This trust invests exclusively in "collectibles." Gains recognized from the sale of "collectibles" held for more than one year are taxed at a maximum federal income tax rate of 28%. This applies to gains recognized from the sale of an interest in the trust as well as gains attributable to you from the Trust's sale of "collectibles" which you - through ownership of shares in the trust - are treated as having held for more than one year.
-

**Common Instructions for Recipient**

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

**Instructions for Recipient**

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

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

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

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

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

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

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

**1099-B Instructions for Recipient**

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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