

|   |   |  |      |
|---|---|--|------|
| <b>Robinhood Securities LLC</b><br>500 Colonial Center Parkway<br>Suite 100<br>Lake Mary, FL 32746<br>Customer Service: 650-940-2700<br><br>PAYER'S TIN: 38-4019216 | <b>Tax Information</b><br><b>Account 974389785</b>  | Statement Date: 02/14/2021<br>Document ID: P072 45U E021 | 2020 |
|   | Naga sandeep kumar Nuthi<br>2330 N Oliver Ave 1207<br>Wichita, KS 67220<br><br>RECIPIENT'S TIN: XXX-XX-6686 |  |      |

**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)      0.40</p> <p>1b- Qualified dividends      0.28</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      0.02</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)          | 9,952.31        | 9,696.74        | 0.00            | 92.29                     | 347.86              |
| Short              | B (basis not reported to the IRS)      | 0.00            | 0.00            | 0.00            | 0.00                      | 0.00                |
| Short              | C (Form 1099-B not received)           | 0.00            | 0.00            | 0.00            | 0.00                      | 0.00                |
|                    | <b>Total Short-term</b>                | <b>9,952.31</b> | <b>9,696.74</b> | <b>0.00</b>     | <b>92.29</b>              | <b>347.86</b>       |
| Long               | D (basis reported to the IRS)          | 0.00            | 0.00            | 0.00            | 0.00                      | 0.00                |
| Long               | E (basis not reported to the IRS)      | 0.00            | 0.00            | 0.00            | 0.00                      | 0.00                |
| Long               | F (Form 1099-B not received)           | 0.00            | 0.00            | 0.00            | 0.00                      | 0.00                |
|                    | <b>Total Long-term</b>                 | <b>0.00</b>     | <b>0.00</b>     | <b>0.00</b>     | <b>0.00</b>               | <b>0.00</b>         |
| Undetermined       | B or E (basis not reported to the IRS) | 0.00            | 0.00            | 0.00            | 0.00                      | 0.00                |
| Undetermined       | C or F (Form 1099-B not received)      | 0.00            | 0.00            | 0.00            | 0.00                      | 0.00                |
|                    | <b>Total Undetermined-term</b>         | <b>0.00</b>     | <b>0.00</b>     | <b>0.00</b>     | <b>0.00</b>               | <b>0.00</b>         |
|                    | <b>Grand total</b>                     | <b>9,952.31</b> | <b>9,696.74</b> | <b>0.00</b>     | <b>92.29</b>              | <b>347.86</b>       |
| <b>Withholding</b> |  | <b>Amount</b>   |                 |                 |                           |                     |
|                    | Federal income tax withheld            | 0.00            |                 |                 |                           |                     |

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

Robinhood Securities LLC

Account 974389785

**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)                        | 0.08        |
| 2- Early withdrawal penalty  | 0.00        |
| 3- Interest on US Savings Bonds & Treasury obligations             | 0.00        |
| <b>4- Federal income tax withheld</b>                              | <b>0.00</b> |
| 5- Investment expenses   | 0.00        |
| 7- Foreign country or US possession: 6- Foreign tax paid:          | 0.00        |
| 8- Tax-exempt interest (includes line 9)                           | 0.00        |
| 9- Specified private activity bond interest (AMT)                  | 0.00        |
| 10- Market discount (covered lots)                                 | 0.00        |
| 11- Bond premium (covered lots)                                    | 0.00        |
| 12- Bond premium on Treasury obligations (covered lots)            | 0.00        |
| 13- Bond premium on tax-exempt bonds (categorized below)           | 0.00        |
| <i>Tax-exempt obligations (covered lots)</i>                       | 0.00        |
| <i>Tax-exempt private activity obligations (AMT, covered lots)</i> | 0.00        |
| 14- Tax-exempt and tax credit bond CUSIP number                    | See detail  |

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

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

**STATE TAX WITHHELD**

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

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

**ORIGINAL ISSUE DISCOUNT AND ADJUSTMENTS**

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

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

**RECONCILIATIONS, FEES, EXPENSES AND EXPENDITURES**

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

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

Robinhood Securities LLC

Account 974389785

**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      |
|---|----------|---|-------------------|-------------------------|--|---|-----------------------------|
| ADT INC. / CUSIP: 00090Q103 / Symbol:                                     |          |   |                   |                         |  |   |                             |
| 3 transactions for 12/04/20. Total proceeds and cost reported to the IRS. |          |   |                   |                         |  |   |                             |
|   | 0.034    | 0.28  | 10/05/20          | 0.28                    | ...  | 0.00  | 1 of 3 - Sale <sup>25</sup> |
|   | 55.000   | 449.39                                      | 10/15/20          | 441.04                  | ...  | 8.35  | 2 of 3 - Sale <sup>25</sup> |
|   | 9.966    | 81.43                                       | 10/16/20          | 79.41                   | ...  | 2.02  | 3 of 3 - Sale <sup>25</sup> |
| 12/04/20  | 65.000   | 531.10                                      | Various           | 520.73                  | ...  | 10.37   | Total of 3 transactions     |
| 4 transactions for 12/04/20. Total proceeds and cost reported to the IRS. |          |   |                   |                         |  |   |                             |
|   | 2.000    | 16.34                                       | 09/09/20          | 21.38                   | 5.04 W   | 0.00  | 1 of 4 - Sale <sup>25</sup> |
|   | 6.000    | 49.02                                       | 09/16/20          | 55.92                   | 6.90 W   | 0.00  | 2 of 4 - Sale <sup>25</sup> |
|   | 1.000    | 8.17  | 09/18/20          | 9.03                    | 0.86 W   | 0.00  | 3 of 4 - Sale <sup>25</sup> |
|   | 1.000    | 8.17  | 09/21/20          | 8.59                    | 0.42 W   | 0.00  | 4 of 4 - Sale <sup>25</sup> |
| 12/04/20  | 10.000   | 81.70                                       | Various           | 94.92                   | 13.22 W  | 0.00  | Total of 4 transactions     |

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Robinhood Securities LLC

Account 974389785

**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      |
|--|------------------------|---|-------------------|-------------------------|--|---|-----------------------------|
| ADT INC. / CUSIP: 00090Q103 / Symbol: (cont'd)                                   |                        |   |                   |                         |  |   |                             |
| <i>3 transactions for 12/09/20. Total proceeds and cost reported to the IRS.</i> |                        |   |                   |                         |  |   |                             |
|  | 23.034                 | 196.28                                      | 10/16/20          | 183.54                  | ...  | 12.74   | 1 of 3 - Sale <sup>25</sup> |
|  | 5.000                  | 42.66                                       | 10/19/20          | 38.79                   | ...  | 3.87  | 2 of 3 - Sale <sup>25</sup> |
|  | 39.966                 | 340.57                                      | 10/19/20          | 310.06                  | ...  | 30.51   | 3 of 3 - Sale <sup>25</sup> |
| 12/09/20   | 68.000                 | 579.51                                      | Various           | 532.39                  | ...  | 47.12   | Total of 3 transactions     |
| <i>2 transactions for 12/17/20. Total proceeds and cost reported to the IRS.</i> |                        |   |                   |                         |  |   |                             |
|  | 0.034                  | 0.29  | 10/19/20          | 0.26                    | ...  | 0.03  | 1 of 2 - Sale <sup>25</sup> |
|  | 61.966                 | 519.36                                      | 12/17/20          | 514.01                  | ...  | 5.35  | 2 of 2 - Sale <sup>25</sup> |
| 12/17/20   | 62.000                 | 519.65                                      | Various           | 514.27                  | ...  | 5.38  | Total of 2 transactions     |
| <i>6 transactions for 12/17/20. Total proceeds and cost reported to the IRS.</i> |                        |   |                   |                         |  |   |                             |
|  | 0.200                  | 1.68  | 12/10/20          | 2.21                    | 0.53 W   | 0.00  | 1 of 6 - Sale <sup>25</sup> |
|  | 1.000                  | 8.38  | 12/16/20          | 11.05                   | 2.67 W   | 0.00  | 2 of 6 - Sale <sup>25</sup> |
|  | 0.800                  | 6.71  | 12/17/20          | 8.66                    | 1.95 W   | 0.00  | 3 of 6 - Sale <sup>25</sup> |
|  | 6.000                  | 50.29                                       | 12/17/20          | 56.67                   | 6.38 W   | 0.00  | 4 of 6 - Sale <sup>25</sup> |
|  | 1.000                  | 8.38  | 12/17/20          | 9.16                    | 0.78 W   | 0.00  | 5 of 6 - Sale <sup>25</sup> |
|  | 1.000                  | 8.38  | 12/17/20          | 8.71                    | 0.33 W   | 0.00  | 6 of 6 - Sale <sup>25</sup> |
| 12/17/20   | 10.000                 | 83.82                                       | Various           | 96.46                   | 12.64 W  | 0.00  | Total of 6 transactions     |
| <i>2 transactions for 12/23/20. Total proceeds and cost reported to the IRS.</i> |                        |   |                   |                         |  |   |                             |
|  | 0.200                  | 1.63  | 12/17/20          | 2.19                    | 0.56 W   | 0.00  | 1 of 2 - Sale <sup>25</sup> |
|  | 0.034                  | 0.28  | 12/17/20          | 0.37                    | 0.09 W   | 0.00  | 2 of 2 - Sale <sup>25</sup> |
| 12/23/20   | 0.234                  | 1.91  | Various           | 2.56                    | 0.65 W   | 0.00  | Total of 2 transactions     |
|  | <b>Security total:</b> | <b>1,797.69</b>                             |                   | <b>1,761.33</b>         | <b>26.51 W</b>   | <b>62.87</b>  |                             |
| ADVANCED MICRO DEVICES, INC. C OMMON STOCK / CUSIP: 007903107 / Symbol:          |                        |   |                   |                         |  |   |                             |
| <i>2 transactions for 10/16/20. Total proceeds and cost reported to the IRS.</i> |                        |   |                   |                         |  |   |                             |
|  | 1.000                  | 82.73                                       | 09/16/20          | 76.98                   | ...  | 5.75  | 1 of 2 - Sale <sup>25</sup> |
|  | 2.000                  | 165.44                                      | 09/16/20          | 155.82                  | ...  | 9.62  | 2 of 2 - Sale <sup>25</sup> |
| 10/16/20   | 3.000                  | 248.17                                      | Various           | 232.80                  | ...  | 15.37   | Total of 2 transactions     |
| 12/30/20   | 2.000                  | 184.61                                      | 12/28/20          | 185.40                  | 0.79 W   | 0.00  | Sale <sup>25</sup>          |
|  | <b>Security total:</b> | <b>432.78</b>                               |                   | <b>418.20</b>           | <b>0.79 W</b>  | <b>15.37</b>  |                             |
| APHRIA INC. COMMON SHARES / CUSIP: 03765K104 / Symbol:                           |                        |   |                   |                         |  |   |                             |
| 09/21/20   | 1.000                  | 4.44  | 07/30/20          | 5.05                    | ...  | -0.61   | Sale <sup>25</sup>          |

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Robinhood Securities LLC

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## Proceeds from Broker and Barter Exchange Transactions

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

(continued)

02/14/2021

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

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

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|--|----------|---|-------------------|-------------------------|--|---|-----------------------------|
| APPLE INC. COMMON STOCK / CUSIP: 037833100 / Symbol:                             |          |   |                   |                         |  |   |                             |
| 2 transactions for 10/19/20. Total proceeds and cost reported to the IRS.        |          |   |                   |                         |  |   |                             |
|  | 1.000    | 117.40                                      | 09/10/20          | 113.75                  | ...  | 3.65  | 1 of 2 - Sale <sup>25</sup> |
|  | 2.000    | 234.79                                      | 09/21/20          | 215.54                  | ...  | 19.25   | 2 of 2 - Sale <sup>25</sup> |
| 10/19/20   | 3.000    | 352.19                                      | Various           | 329.29                  | ...  | 22.90   | Total of 2 transactions     |
| CATALYST PHARMACEUTICALS, INC. COMMON STOCK / CUSIP: 14888U101 / Symbol:         |          |   |                   |                         |  |   |                             |
| 3 transactions for 12/09/20. Total proceeds and cost reported to the IRS.        |          |   |                   |                         |  |   |                             |
|  | 2.000    | 6.87  | 08/04/20          | 8.26                    | ...  | -1.39   | 1 of 3 - Sale <sup>25</sup> |
|  | 2.000    | 6.87  | 08/04/20          | 8.24                    | ...  | -1.37   | 2 of 3 - Sale <sup>25</sup> |
|  | 2.000    | 6.87  | 08/04/20          | 8.23                    | ...  | -1.36   | 3 of 3 - Sale <sup>25</sup> |
| 12/09/20   | 6.000    | 20.61                                       | Various           | 24.73                   | ...  | -4.12   | Total of 3 transactions     |
| CORBUS PHARMACEUTICALS HOLDING S, INC. COMMON STOCK / CUSIP: 21833P103 / Symbol: |          |   |                   |                         |  |   |                             |
| 08/13/20   | 1.000    | 7.32  | 08/06/20          | 6.33                    | ...  | 0.99  | Sale <sup>25</sup>          |
| COTY INC / CUSIP: 222070203 / Symbol:  |          |   |                   |                         |  |   |                             |
| 08/24/20   | 1.000    | 3.97  | 07/31/20          | 3.84                    | ...  | 0.13  | Sale <sup>25</sup>          |
| CRONOS GROUP INC. COMMON SHARE / CUSIP: 22717L101 / Symbol:                      |          |   |                   |                         |  |   |                             |
| 08/04/20   | 2.000    | 14.18                                       | 07/23/20          | 12.82                   | ...  | 1.36  | Sale <sup>25</sup>          |
| EASTMAN KODAK COMPANY / CUSIP: 277461406 / Symbol:                               |          |   |                   |                         |  |   |                             |
| 09/16/20   | 1.000    | 8.45  | 08/17/20          | 7.72                    | ...  | 0.73  | Sale <sup>25</sup>          |
| FITBIT, INC. CLASS A COMMON STOCK / CUSIP: 33812L102 / Symbol:                   |          |   |                   |                         |  |   |                             |
| 12/09/20   | 1.000    | 7.21  | 12/04/20          | 7.25                    | ...  | -0.04   | Sale <sup>25</sup>          |
| FISKER INC. / CUSIP: 33813J106 / Symbol:   |          |   |                   |                         |  |   |                             |
| 3 transactions for 12/16/20. Total proceeds and cost reported to the IRS.        |          |   |                   |                         |  |   |                             |
|  | 0.100    | 1.55  | 12/10/20          | 1.52                    | ...  | 0.03  | 1 of 3 - Sale <sup>25</sup> |
|  | 5.000    | 77.45                                       | 12/10/20          | 77.05                   | ...  | 0.40  | 2 of 3 - Sale <sup>25</sup> |
|  | 0.900    | 13.94                                       | 12/16/20          | 13.34                   | ...  | 0.60  | 3 of 3 - Sale <sup>25</sup> |
| 12/16/20   | 6.000    | 92.94                                       | Various           | 91.91                   | ...  | 1.03  | Total of 3 transactions     |
| 12/16/20   | 36.000   | 557.62                                      | 12/04/20          | 607.14                  | 49.52 W  | 0.00  | Sale <sup>25</sup>          |

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Robinhood Securities LLC

Account 974389785

**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      |
|---|------------------------|---|-------------------|-------------------------|--|---|-----------------------------|
| FISKER INC. / CUSIP: 33813J106 / Symbol: (cont'd)                         |                        |   |                   |                         |  |   |                             |
| 2 transactions for 12/18/20. Total proceeds and cost reported to the IRS. |                        |   |                   |                         |  |   |                             |
|   | 4.000                  | 66.24                                       | 12/16/20          | 59.27                   | ...  | 6.97  | 1 of 2 - Sale <sup>25</sup> |
|   | 36.000                 | 596.14                                      | 12/16/20          | 582.96                  | ...  | 13.18   | 2 of 2 - Sale <sup>25</sup> |
| 12/18/20  | 40.000                 | 662.38                                      | Various           | 642.23                  | ...  | 20.15   | Total of 2 transactions     |
| 2 transactions for 12/23/20. Total proceeds and cost reported to the IRS. |                        |   |                   |                         |  |   |                             |
|   | 0.100                  | 1.59  | 12/16/20          | 1.48                    | ...  | 0.11  | 1 of 2 - Sale <sup>25</sup> |
|   | 1.000                  | 15.92                                       | 12/16/20          | 14.82                   | ...  | 1.10  | 2 of 2 - Sale <sup>25</sup> |
| 12/23/20  | 1.100                  | 17.51                                       | Various           | 16.30                   | ...  | 1.21  | Total of 2 transactions     |
|   | <b>Security total:</b> | <b>1,330.45</b>                             |                   | <b>1,357.58</b>         | <b>49.52 W</b>   | <b>22.39</b>  |                             |
| FORD MOTOR COMPANY / CUSIP: 345370860 / Symbol:                           |                        |   |                   |                         |  |   |                             |
| 12/30/20  | 6.000                  | 53.31                                       | 12/22/20          | 52.90                   | ...  | 0.41  | Sale <sup>25</sup>          |
| GENERAL ELECTRIC COMPANY / CUSIP: 369604103 / Symbol:                     |                        |   |                   |                         |  |   |                             |
| 09/16/20  | 4.000                  | 27.06                                       | 07/28/20          | 26.84                   | ...  | 0.22  | Sale <sup>25</sup>          |
| HEXO CORP. / CUSIP: 428304109 / Symbol:                                   |                        |   |                   |                         |  |   |                             |
| 5 transactions for 09/15/20. Total proceeds and cost reported to the IRS. |                        |   |                   |                         |  |   |                             |
|   | 196.000                | 137.96                                      | 08/19/20          | 143.30                  | ...  | -5.34   | 1 of 5 - Sale <sup>25</sup> |
|   | 5.000                  | 3.52  | 08/26/20          | 3.55                    | ...  | -0.03   | 2 of 5 - Sale <sup>25</sup> |
|   | 6.000                  | 4.22  | 09/03/20          | 4.02                    | ...  | 0.20  | 3 of 5 - Sale <sup>25</sup> |
|   | 43.000                 | 30.27                                       | 09/03/20          | 28.88                   | ...  | 1.39  | 4 of 5 - Sale <sup>25</sup> |
|   | 100.000                | 70.39                                       | 09/03/20          | 67.16                   | ...  | 3.23  | 5 of 5 - Sale <sup>25</sup> |
| 09/15/20  | 350.000                | 246.36                                      | Various           | 246.91                  | ...  | -0.55   | Total of 5 transactions     |
| IBIO, INC. / CUSIP: 451033203 / Symbol:                                   |                        |   |                   |                         |  |   |                             |
| 2 transactions for 12/22/20. Total proceeds and cost reported to the IRS. |                        |   |                   |                         |  |   |                             |
|   | 14.000                 | 16.69                                       | 12/17/20          | 16.10                   | ...  | 0.59  | 1 of 2 - Sale <sup>25</sup> |
|   | 15.000                 | 17.88                                       | 12/17/20          | 17.25                   | ...  | 0.63  | 2 of 2 - Sale <sup>25</sup> |
| 12/22/20  | 29.000                 | 34.57                                       | Various           | 33.35                   | ...  | 1.22  | Total of 2 transactions     |

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Robinhood Securities LLC

Account 974389785

**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      |
|---|------------------------|---|-------------------|-------------------------|--|---|-----------------------------|
| LORDSTOWN MOTORS CORP. CLASS A COMMON STOCK / CUSIP: 54405Q100 / Symbol:      |                        |   |                   |                         |  |   |                             |
| 2 transactions for 12/21/20. Total proceeds and cost reported to the IRS.     |                        |   |                   |                         |  |   |                             |
|   | 29.900                 | 560.90                                      | 12/17/20          | 573.47                  | ...  | -12.57  | 1 of 2 - Sale <sup>25</sup> |
|   | 0.100                  | 1.88  | 12/17/20          | 1.92                    | ...  | -0.04   | 2 of 2 - Sale <sup>25</sup> |
| 12/21/20  | 30.000                 | 562.78                                      | Various           | 575.39                  | ...  | -12.61  | Total of 2 transactions     |
| 12/21/20  | 1.000                  | 18.76                                       | 12/16/20          | 19.30                   | 0.05 W   | -0.49   | Sale <sup>25</sup>          |
| 12/23/20  | 0.100                  | 2.34  | 12/17/20          | 1.97                    | ...  | 0.37  | Sale <sup>25</sup>          |
|   | <b>Security total:</b> | <b>583.88</b>                               |                   | <b>596.66</b>           | <b>0.05 W</b>  | <b>-12.73</b>   |                             |
| MACY'S INC. / CUSIP: 55616P104 / Symbol:                                      |                        |   |                   |                         |  |   |                             |
| 08/07/20  | 7.000                  | 46.28                                       | 07/29/20          | 45.57                   | ...  | 0.71  | Sale <sup>25</sup>          |
| NEPTUNE WELLNESS SOLUTIONS INC . ORDINARY SHARES / CUSIP: 64079L105 / Symbol: |                        |   |                   |                         |  |   |                             |
| 12/30/20  | 50.000                 | 81.25                                       | 12/28/20          | 80.00                   | ...  | 1.25  | Sale <sup>25</sup>          |
| NIKOLA CORPORATION COMMON STOC K / CUSIP: 654110105 / Symbol:                 |                        |   |                   |                         |  |   |                             |
| 2 transactions for 12/30/20. Total proceeds and cost reported to the IRS.     |                        |   |                   |                         |  |   |                             |
|   | 2.000                  | 32.60                                       | 12/23/20          | 30.34                   | ...  | 2.26  | 1 of 2 - Sale <sup>25</sup> |
|   | 11.000                 | 179.30                                      | 12/28/20          | 153.01                  | ...  | 26.29   | 2 of 2 - Sale <sup>25</sup> |
| 12/30/20  | 13.000                 | 211.90                                      | Various           | 183.35                  | ...  | 28.55   | Total of 2 transactions     |
| OCUGEN, INC. COMMON STOCK / CUSIP: 67577C105 / Symbol:                        |                        |   |                   |                         |  |   |                             |
| 12/22/20  | 42.000                 | 22.13                                       | 12/21/20          | 12.31                   | ...  | 9.82  | Sale <sup>25</sup>          |
| ORGANIGRAM HOLDINGS INC. COMMO N SHARES / CUSIP: 68620P101 / Symbol:          |                        |   |                   |                         |  |   |                             |
| 3 transactions for 12/07/20. Total proceeds and cost reported to the IRS.     |                        |   |                   |                         |  |   |                             |
|   | 5.000                  | 7.55  | 08/19/20          | 7.04                    | ...  | 0.51  | 1 of 3 - Sale <sup>25</sup> |
|   | 2.000                  | 3.02  | 09/23/20          | 2.22                    | ...  | 0.80  | 2 of 3 - Sale <sup>25</sup> |
|   | 3.000                  | 4.53  | 10/16/20          | 3.54                    | ...  | 0.99  | 3 of 3 - Sale <sup>25</sup> |
| 12/07/20  | 10.000                 | 15.10                                       | Various           | 12.80                   | ...  | 2.30  | Total of 3 transactions     |
| TESLA, INC. COMMON STOCK / CUSIP: 88160R101 / Symbol:                         |                        |   |                   |                         |  |   |                             |
| 09/17/20  | 1.000                  | 429.77                                      | 09/09/20          | 348.44                  | ...  | 81.33   | Sale <sup>25</sup>          |
| 2 transactions for 09/18/20. Total proceeds and cost reported to the IRS.     |                        |   |                   |                         |  |   |                             |
|   | 1.000                  | 448.92                                      | 09/17/20          | 428.49                  | ...  | 20.43   | 1 of 2 - Sale <sup>25</sup> |

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Robinhood Securities LLC

Account 974389785

## 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      |
|---|---|---|-------------------|-------------------------|--|---|-----------------------------|
| TESLA, INC. COMMON STOCK / CUSIP: 88160R101 / Symbol: (cont'd)                |   |   |                   |                         |  |   |                             |
|   | 1.000   | 449.78                                      | 09/18/20          | 444.00                  | ...  | 5.78  | 2 of 2 - Sale <sup>25</sup> |
| 09/18/20  | 2.000   | 898.70                                      | Various           | 872.49                  | ...  | 26.21   | Total of 2 transactions     |
|   | 2 transactions for 09/18/20. Total proceeds and cost reported to the IRS. |   |                   |                         |  |   |                             |
|   | 1.000   | 440.91                                      | 09/18/20          | 443.48                  | 2.57 W   | 0.00  | 1 of 2 - Sale <sup>25</sup> |
|   | 1.000   | 432.50                                      | 09/18/20          | 445.35                  | 12.85 W  | 0.00  | 2 of 2 - Sale <sup>25</sup> |
| 09/18/20  | 2.000   | 873.41                                      | Various           | 888.83                  | 15.42 W  | 0.00  | Total of 2 transactions     |
| 10/14/20  | 1.000   | 458.45                                      | 09/21/20          | 438.55                  | ...  | 19.90   | Sale <sup>25</sup>          |
| 12/16/20  | 1.000   | 627.58                                      | 12/10/20          | 575.97                  | ...  | 51.61   | Sale <sup>25</sup>          |
|   | 2 transactions for 12/17/20. Total proceeds and cost reported to the IRS. |   |                   |                         |  |   |                             |
|   | 0.010   | 6.38  | 12/10/20          | 5.75                    | ...  | 0.63  | 1 of 2 - Sale <sup>25</sup> |
|   | 0.990   | 632.10                                      | 12/16/20          | 617.24                  | ...  | 14.86   | 2 of 2 - Sale <sup>25</sup> |
| 12/17/20  | 1.000   | 638.48                                      | Various           | 622.99                  | ...  | 15.49   | Total of 2 transactions     |
| 12/23/20  | 0.010   | 6.48  | 12/16/20          | 6.23                    | ...  | 0.25  | Sale <sup>25</sup>          |
|   | <b>Security total:</b>  | <b>3,932.87</b>                             |                   | <b>3,753.50</b>         | <b>15.42 W</b>   | <b>194.79</b>   |                             |
| TONIX PHARMACEUTICALS HOLDING CORP. COMMON STOCK / CUSIP: 890260706 / Symbol: |   |   |                   |                         |  |   |                             |
|   | 2 transactions for 12/30/20. Total proceeds and cost reported to the IRS. |   |                   |                         |  |   |                             |
|   | 100.000   | 67.11                                       | 12/28/20          | 70.32                   | ...  | -3.21   | 1 of 2 - Sale <sup>25</sup> |
|   | 300.000   | 201.32                                      | 12/30/20          | 196.47                  | ...  | 4.85  | 2 of 2 - Sale <sup>25</sup> |
| 12/30/20  | 400.000   | 268.43                                      | Various           | 266.79                  | ...  | 1.64  | Total of 2 transactions     |
| UNITED STATES STEEL CORPORATIO N / CUSIP: 912909108 / Symbol:                 |   |   |                   |                         |  |   |                             |
| 12/23/20  | 0.300   | 5.20  | 12/16/20          | 5.46                    | ...  | -0.26   | Sale <sup>25</sup>          |
| WELLS FARGO & CO. / CUSIP: 949746101 / Symbol:                                |   |   |                   |                         |  |   |                             |
| 12/31/20  | 5.000   | 149.16                                      | 12/28/20          | 150.80                  | ...  | -1.64   | Sale <sup>25</sup>          |
| WPX ENERGY, INC. / CUSIP: 98212B103 / Symbol:                                 |   |   |                   |                         |  |   |                             |
| 08/05/20  | 1.000   | 6.29  | 07/21/20          | 6.17                    | ...  | 0.12  | Sale <sup>25</sup>          |
| YAMANA GOLD, INC. / CUSIP: 98462Y100 / Symbol:                                |   |   |                   |                         |  |   |                             |
| 12/09/20  | 7.000   | 39.00                                       | 08/10/20          | 45.71                   | ...  | -6.71   | Sale <sup>25</sup>          |

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Robinhood Securities LLC

Account 974389785

**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      |
|--|----------|---|-------------------|-------------------------|--|---|-----------------------------|
| ZOMEDICA CORP. / CUSIP: 98980M109 / Symbol:                                      |          |   |                   |                         |  |   |                             |
| <i>3 transactions for 12/30/20. Total proceeds and cost reported to the IRS.</i> |          |   |                   |                         |  |   |                             |
|  | 200.000  | 49.27                                       | 12/28/20          | 49.46                   | ...  | -0.19   | 1 of 3 - Sale <sup>25</sup> |
|  | 65.000   | 16.02                                       | 12/30/20          | 15.55                   | ...  | 0.47  | 2 of 3 - Sale <sup>25</sup> |
|  | 200.000  | 49.27                                       | 12/30/20          | 47.60                   | ...  | 1.67  | 3 of 3 - Sale <sup>25</sup> |
| 12/30/20   | 465.000  | 114.56                                      | Various           | 112.61                  | ...  | 1.95  | Total of 3 transactions     |
| NORWEGIAN CRUISE LINE HOLDINGS LTD. ORDINARY SHARES / CUSIP: G66721104 / Symbol: |          |   |                   |                         |  |   |                             |
| 12/28/20   | 1.000    | 25.69                                       | 12/17/20          | 25.39                   | ...  | 0.30  | Sale <sup>25</sup>          |
| SEANERGY MARITIME HOLDINGS COR P COMMON STOCK / CUSIP: Y73760194 / Symbol:       |          |   |                   |                         |  |   |                             |
| 12/31/20   | 200.000  | 109.98                                      | 12/28/20          | 105.48                  | ...  | 4.50  | Sale <sup>25</sup>          |
| <b>Totals :</b>  |          | <b>9,952.31</b>                             |                   | <b>9,696.74</b>         | <b>92.29 W</b>   | <b>347.86</b>   |                             |

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Robinhood Securities LLC

Account 974389785

## 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 |
|----------------------|---------------------|-------|----------|--------------|--|-------|
| ADT INC.             | 00090Q103           |       | 10/02/20 | 0.28         | Qualified dividend                         |       |
| YAMANA GOLD, INC.    | 98462Y100           |       | 10/14/20 | 0.12         | Nonqualified dividend                      |       |
|                      |                     |       | 10/14/20 | -0.02        | Foreign tax withheld-CA                    |       |
|                      |                     |       |          | <b>0.12</b>  | <b>Total Dividends &amp; distributions</b> |       |
|                      |                     |       |          | <b>-0.02</b> | <b>Total Foreign tax withheld</b>          |       |
|                      |                     |       |          | <b>0.40</b>  | <b>Total Dividends &amp; distributions</b> |       |
|                      |                     |       |          | <b>-0.02</b> | <b>Total Foreign tax withheld</b>          |       |

Robinhood Securities LLC

Account 974389785

**Detail for Interest Income**

2020

02/14/2021

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

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

| Security description | CUSIP and/or symbol | Date     | Amount      | Transaction type      | Notes |
|----------------------|---------------------|----------|-------------|-----------------------|-------|
|                      |                     | 09/30/20 | 0.01        | Interest              |       |
|                      |                     | 10/30/20 | 0.01        | Interest              |       |
|                      |                     | 12/31/20 | 0.06        | Interest              |       |
|                      |                     |          | 0.08        | Total Interest        |       |
|                      |                     |          | <b>0.08</b> | <b>Total Interest</b> |       |

Robinhood Securities LLC

Account 974389785

**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                  | YAMANA GOLD, INC.                        | 98462Y100 | 0.12         | 0.00        | 0.00        | 0.12        | -0.02        |     |
| <b>Total CANADA</b> |  |           | <b>0.12</b>  | <b>0.00</b> | <b>0.00</b> | <b>0.12</b> | <b>-0.02</b> |     |
| <b>Grand Total</b>  | <b>Total Foreign Source Income*</b>      |           |              | <b>0.12</b> |             |             |              |     |
|                     | <b>Qualified Foreign Source Income**</b> |           |              | <b>0.00</b> |             |             |              |     |
|                     | <b>Foreign Tax</b>                       |           |              |             |             |             | <b>-0.02</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.

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

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**Common Instructions for Recipient**

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

**Instructions for Recipient**

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

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

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

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

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

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

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

**1099-INT Instructions for Recipient**

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

**1099-B Instructions for Recipient**

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

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

**Instructions for Recipient**

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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