

Robinhood Securities LLC 500 Colonial Center Parkway Suite 100 Lake Mary, FL 32746 Customer Service: 650-940-2700 PAYER'S TIN: 38-4019216	Tax Information Account 124817628	Statement Date: 02/14/2021 Document ID: B1BQ 37V 5131	2020
	Naga venu sai shya Karuparty 13015 SANCTUARY COVE DR, APT 304 Temple Terrace, FL 33637 RECIPIENT'S TIN: XXX-XX-4435		

Summary Information

<p>DIVIDENDS AND DISTRIBUTIONS 2020 1099-DIV* OMB No. 1545-0110</p> <p>1a- Total ordinary dividends (includes lines 1b, 5) 21.49</p> <p>1b- Qualified dividends 21.49</p> <p>2a- Total capital gain distributions (includes lines 2b, 2c, 2d) 0.00</p> <p>2b- Unrecaptured Section 1250 gain 0.00</p> <p>2c- Section 1202 gain 0.00</p> <p>2d- Collectibles (28%) gain 0.00</p> <p>3- Nondividend distributions 0.00</p> <p>4- Federal income tax withheld 0.00</p> <p>5- Section 199A dividends 0.00</p> <p>6- Investment expenses 0.00</p> <p>8- Foreign country or US possession: 7- Foreign tax paid: 0.00</p> <p>9- Cash liquidation distributions 0.00</p> <p>10- Noncash liquidation distributions 0.00</p> <p>11- Exempt-interest dividends (includes line 12) 0.00</p> <p>12- Specified private activity bond interest dividends (AMT) 0.00</p>	<p>MISCELLANEOUS INCOME 2020 1099-MISC* OMB No. 1545-0115</p> <p>2- Royalties 0.00</p> <p>3- Other income 0.00</p> <p>4- Federal income tax withheld 0.00</p> <p>8- Substitute payments in lieu of dividends or interest 0.00</p> <p>SECTION 1256 CONTRACTS 2020 1099-B* OMB No. 1545-0715</p> <p>8- Profit or (loss) realized in 2020 on closed contracts 0.00</p> <p>9- Unrealized profit or (loss) on open contracts-12/31/2019 0.00</p> <p>10- Unrealized profit or (loss) on open contracts-12/31/2020 0.00</p> <p>11- Aggregate profit or (loss) on contracts 0.00</p> <p style="text-align: center;"><i>If applicable, proceeds from sale transactions appear summarized below and are detailed in subsequent sections of this document.</i></p>
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SUMMARY OF PROCEEDS, GAINS & LOSSES, ADJUSTMENTS AND WITHHOLDING

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

Term	Form 8949 type	Proceeds	Cost basis	Market discount	Wash sale loss disallowed	Net gain or loss(-)
Short	A (basis reported to the IRS)	34,657.63	33,834.45	0.00	382.14	1,205.32
Short	B (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Short	C (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
	Total Short-term	34,657.63	33,834.45	0.00	382.14	1,205.32
Long	D (basis reported to the IRS)	11.96	9.45	0.00	0.00	2.51
Long	E (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Long	F (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
	Total Long-term	11.96	9.45	0.00	0.00	2.51
Undetermined	B or E (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Undetermined	C or F (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
	Total Undetermined-term	0.00	0.00	0.00	0.00	0.00
	Grand total	34,669.59	33,843.90	0.00	382.14	1,207.83
Withholding		Amount				
	Federal income tax withheld	0.00				

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

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Summary Information

2020

(continued)

02/14/2021

INTEREST INCOME

2020 1099-INT

OMB No. 1545-0112

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

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

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

STATE TAX WITHHELD

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

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

ORIGINAL ISSUE DISCOUNT AND ADJUSTMENTS

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

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

RECONCILIATIONS, FEES, EXPENSES AND EXPENDITURES

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

Other Receipts & Reconciliations- Partnership distributions	1.53
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	15.00
Fees & Expenses- Dividends paid on short position	0.00
Fees & Expenses- Interest paid on short position	0.00
Fees & Expenses- Non reportable distribution expense	0.00
Fees & Expenses- Other expenses	0.00
Fees & Expenses- Severance tax	0.00
Fees & Expenses- Organizational expense	0.00
Fees & Expenses- Miscellaneous fees	0.00
Fees & Expenses- Tax-exempt investment expense	0.00
Foreign Exchange Gains & Losses- Foreign currency gain/loss	0.00

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Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

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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
BAC 06/18/2021 CALL \$37.00 / CUSIP: / Symbol:							
12/21/20	1.000	59.98	12/18/20	42.00	...	17.98	Option sale to close-call ²⁵
MSFT 11/20/2020 CALL \$242.50 / CUSIP: / Symbol:							
11/20/20	1.000	0.00	11/09/20	31.00	...	-31.00	Option expiration- long call
ALJ REGIONAL HOLDINGS, INC. CO MMON STOCK / CUSIP: 001627108 / Symbol:							
2 transactions for 07/20/20. Total proceeds and cost reported to the IRS.							
	52.000	38.00	06/22/20	35.88	...	2.12	1 of 2 - Sale ²⁵
	100.000	71.99	06/22/20	69.00	...	2.99	2 of 2 - Sale ²⁵
07/20/20	152.000	109.99	Various	104.88	...	5.11	Total of 2 transactions
AMC ENTERTAINMENT HOLDINGS, IN C. / CUSIP: 00165C104 / Symbol:							
11/30/20	0.129	0.53	11/09/20	0.52	...	0.01	Sale ²⁵

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Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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

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

"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
AT&T INC. / CUSIP: 00206R102 / Symbol:							
3 transactions for 11/30/20. Total proceeds and cost reported to the IRS.							
	2.389	69.24	08/28/20	74.26	...	-5.02	1 of 3 - Sale ²⁵
	0.611	17.69	08/28/20	18.97	...	-1.28	2 of 3 - Sale ²⁵
	0.096	2.77	08/28/20	2.97	...	-0.20	3 of 3 - Sale ²⁵
11/30/20	3.096	89.70	Various	96.20	...	-6.50	Total of 3 transactions
2 transactions for 12/09/20. Total proceeds and cost reported to the IRS.							
	2.514	79.16	08/28/20	78.15	...	1.01	1 of 2 - Sale ²⁵
	17.486	550.52	09/22/20	500.00	...	50.52	2 of 2 - Sale ²⁵
12/09/20	20.000	629.68	Various	578.15	...	51.53	Total of 2 transactions
	Security total:	719.38		674.35	...	45.03	
ADIAL PHARMACEUTICALS, INC COM MON STOCK / CUSIP: 00688A106 / Symbol:							
2 transactions for 08/06/20. Total proceeds and cost reported to the IRS.							
	100.000	239.73	07/30/20	209.00	...	30.73	1 of 2 - Sale ²⁵
	100.000	239.73	07/30/20	208.99	...	30.74	2 of 2 - Sale ²⁵
08/06/20	200.000	479.46	Various	417.99	...	61.47	Total of 2 transactions
20 transactions for 09/29/20. Total proceeds and cost reported to the IRS.							
	0.100	0.29	07/30/20	0.18	...	0.11	1 of 20 - Sale ²⁵
	1.000	2.70	07/30/20	1.79	...	0.91	2 of 20 - Sale ²⁵
	3.000	7.20	07/30/20	5.70	...	1.50	3 of 20 - Sale ²⁵
	18.000	43.20	07/30/20	35.46	...	7.74	4 of 20 - Sale ²⁵
	16.000	38.40	07/30/20	30.24	...	8.16	5 of 20 - Sale ²⁵
	29.000	69.59	07/30/20	60.61	...	8.98	6 of 20 - Sale ²⁵
	32.000	76.79	07/30/20	65.28	...	11.51	7 of 20 - Sale ²⁵
	45.000	107.99	07/30/20	86.85	...	21.14	8 of 20 - Sale ²⁵
	50.000	119.99	07/30/20	98.00	...	21.99	9 of 20 - Sale ²⁵
	50.000	119.99	07/30/20	96.50	...	23.49	10 of 20 - Sale ²⁵
	29.000	78.30	07/30/20	54.81	...	23.49	11 of 20 - Sale ²⁵
	58.000	139.19	07/30/20	110.77	...	28.42	12 of 20 - Sale ²⁵
	33.000	89.10	07/30/20	59.40	...	29.70	13 of 20 - Sale ²⁵
	100.000	239.98	07/30/20	209.00	...	30.98	14 of 20 - Sale ²⁵
	37.000	99.89	07/30/20	66.60	...	33.29	15 of 20 - Sale ²⁵
	100.000	239.99	07/30/20	203.00	...	36.99	16 of 20 - Sale ²⁵

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Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

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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
ADIAL PHARMACEUTICALS, INC COM MON STOCK / CUSIP: 00688A106 / Symbol: (cont'd)							
	46.900	135.62	07/30/20	84.42	...	51.20	17 of 20 - Sale ²⁵
	0.104	0.29	07/31/20	0.17	...	0.12	18 of 20 - Sale ²⁵
	1.000	3.07	07/31/20	1.62	...	1.45	19 of 20 - Sale ²⁵
	51.100	147.78	07/31/20	82.78	...	65.00	20 of 20 - Sale ²⁵
09/29/20	700.204	1,759.35	Various	1,353.18	...	406.17	Total of 20 transactions
	5 transactions for 09/30/20. Total proceeds and cost reported to the IRS.						
	0.410	0.98	07/31/20	0.66	...	0.32	1 of 5 - Sale ²⁵
	0.799	1.74	07/31/20	1.29	...	0.45	2 of 5 - Sale ²⁵
	3.389	8.13	07/31/20	5.49	...	2.64	3 of 5 - Sale ²⁵
	37.000	88.80	07/31/20	59.94	...	28.86	4 of 5 - Sale ²⁵
	59.201	142.08	07/31/20	95.91	...	46.17	5 of 5 - Sale ²⁵
09/30/20	100.799	241.73	Various	163.29	...	78.44	Total of 5 transactions
	Security total:	2,480.54		1,934.46	...	546.08	
ADVANCED MICRO DEVICES, INC. C OMMON STOCK / CUSIP: 007903107 / Symbol:							
	2 transactions for 08/10/20. Total proceeds and cost reported to the IRS.						
	5.000	417.22	08/06/20	425.58	...	-8.36	1 of 2 - Sale ²⁵
	0.633	52.83	08/06/20	53.88	...	-1.05	2 of 2 - Sale ²⁵
08/10/20	5.633	470.05	Various	479.46	...	-9.41	Total of 2 transactions
AILERON THERAPEUTICS, INC. COM MON STOCK / CUSIP: 00887A105 / Symbol:							
12/15/20	100.000	95.29	12/10/20	106.89	...	-11.60	Sale ²⁵
AKEBIA THERAPEUTICS, INC. COMM ON STOCK / CUSIP: 00972D105 / Symbol:							
10/19/20	36.766	136.03	09/23/20	100.00	...	36.03	Sale ²⁵
ALASKA AIR GROUP, INC. / CUSIP: 011659109 / Symbol:							
11/13/20	2.000	88.86	06/05/20	85.22	...	3.64	Sale ²⁵
AMERICAN AIRLINES GROUP INC. C OMMON STOCK / CUSIP: 02376R102 / Symbol:							
11/30/20	0.913	12.97	06/05/20	16.86	3.89 W	0.00	Sale ²⁵

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Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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

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AMPIO PHARMACEUTICALS, INC / CUSIP: 03209T109 / Symbol:							
07/20/20	108.000	92.87	06/19/20	87.48	...	5.39	Sale ²⁵
07/21/20	50.000	41.80	06/19/20	40.50	...	1.30	Sale ²⁵
	Security total:	134.67		127.98	...	6.69	
APPLE INC. COMMON STOCK / CUSIP: 037833100 / Symbol:							
11/30/20	0.051	5.95	08/31/20	6.55	0.60 W	0.00	Sale ²⁵
12/07/20	1.000	124.18	10/19/20	116.56	...	7.62	Sale ²⁵
	2 transactions for 12/07/20. Total proceeds and cost reported to the IRS.						
	1.000	124.17	08/31/20	129.87	5.41 W	-0.29	1 of 2 - Sale ²⁵
	0.000	0.00	08/31/20	0.01	0.01 W	0.00	2 of 2 - Zero proceeds / negative sale ²⁵
12/07/20	1.000	124.17	Various	129.88	5.42 W	-0.29	Total of 2 transactions
	Security total:	254.30		252.99	6.02 W	7.33	
AURORA CANNABIS INC. COMMON SH ARES / CUSIP: 05156X884 / Symbol:							
	2 transactions for 06/23/20. Total proceeds and cost reported to the IRS.						
	2.000	29.92	03/25/20	19.24	...	10.68	1 of 2 - Sale ²⁵
	10.000	149.63	05/21/20	155.70	...	-6.07	2 of 2 - Sale ²⁵
06/23/20	12.000	179.55	Various	174.94	...	4.61	Total of 2 transactions
AVINGER, INC. COMMON STOCK / CUSIP: 053734604 / Symbol:							
07/28/20	475.000	227.99	07/21/20	201.35	...	26.64	Sale ²⁵
	4 transactions for 07/30/20. Total proceeds and cost reported to the IRS.						
	13.000	6.27	07/21/20	5.59	...	0.68	1 of 4 - Sale ²⁵
	25.000	11.63	07/21/20	10.60	...	1.03	2 of 4 - Sale ²⁵
	87.000	41.93	07/21/20	37.06	...	4.87	3 of 4 - Sale ²⁵
	175.000	81.39	07/21/20	74.55	...	6.84	4 of 4 - Sale ²⁵
07/30/20	300.000	141.22	Various	127.80	...	13.42	Total of 4 transactions
	Security total:	369.21		329.15	...	40.06	
BP P.L.C. / CUSIP: 055622104 / Symbol:							
09/16/20	1.000	19.83	09/09/20	20.34	...	-0.51	Sale ²⁵

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BANK OF AMERICA CORPORATION / CUSIP: 060505104 / Symbol:							
06/16/20	5.000	127.66	03/23/20	94.80	...	32.86	Sale ²⁵
	5 transactions for 11/13/20. Total proceeds and cost reported to the IRS.						
	1.000	26.96	09/09/20	25.58	...	1.38	1 of 5 - Sale ²⁵
	0.001	0.03	10/14/20	0.03	...	0.00	2 of 5 - Sale ²⁵
	0.157	4.22	10/14/20	3.75	...	0.47	3 of 5 - Sale ²⁵
	1.000	26.95	10/14/20	23.97	...	2.98	4 of 5 - Sale ²⁵
	6.842	184.43	10/14/20	164.08	...	20.35	5 of 5 - Sale ²⁵
11/13/20	9.000	242.59	Various	217.41	...	25.18	Total of 5 transactions
	Security total:	370.25		312.21	...	58.04	
BELLUS HEALTH INC. COMMON SHAR ES / CUSIP: 07987C204 / Symbol:							
	2 transactions for 07/07/20. Total proceeds and cost reported to the IRS.						
	0.292	1.11	07/06/20	0.81	...	0.30	1 of 2 - Sale ²⁵
	31.000	118.27	07/06/20	86.65	...	31.62	2 of 2 - Sale ²⁵
07/07/20	31.292	119.38	Various	87.46	...	31.92	Total of 2 transactions
BEYOND MEAT, INC. COMMON STOCK / CUSIP: 08862E109 / Symbol:							
03/05/20	1.000	96.62	03/05/20	98.30	1.68 W	0.00	Sale ²⁵
06/01/20	1.000	134.25	03/23/20	57.29	...	76.96	Sale ²⁵
	Security total:	230.87		155.59	1.68 W	76.96	
BIOCEPT, INC. COMMON STOCK / CUSIP: 09072V402 / Symbol:							
	9 transactions for 06/18/20. Total proceeds and cost reported to the IRS.						
	100.000	83.01	06/12/20	51.49	...	31.52	1 of 9 - Sale ²⁵
	10.000	8.30	06/16/20	6.44	...	1.86	2 of 9 - Sale ²⁵
	43.000	36.54	06/16/20	29.67	...	6.87	3 of 9 - Sale ²⁵
	45.000	38.25	06/16/20	31.05	...	7.20	4 of 9 - Sale ²⁵
	41.000	34.03	06/16/20	26.74	...	7.29	5 of 9 - Sale ²⁵
	180.000	152.98	06/16/20	116.50	...	36.48	6 of 9 - Sale ²⁵
	232.000	197.17	06/16/20	156.69	...	40.48	7 of 9 - Sale ²⁵
	349.000	289.70	06/16/20	223.99	...	65.71	8 of 9 - Sale ²⁵
	300.000	272.96	06/16/20	202.62	...	70.34	9 of 9 - Sale ²⁵
06/18/20	1,300.000	1,112.94	Various	845.19	...	267.75	Total of 9 transactions
06/22/20	200.000	179.98	06/16/20	135.08	...	44.90	Sale ²⁵

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02/14/2021

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BIOCEPT, INC. COMMON STOCK / CUSIP: 09072V402 / Symbol: (cont'd)							
Security total:		1,292.92		980.27	...	312.65	
BIONANO GENOMICS, INC. COMMON STOCK / CUSIP: 09075F107 / Symbol:							
<i>7 transactions for 07/17/20. Total proceeds and cost reported to the IRS.</i>							
	200.000	132.02	06/18/20	110.36	...	21.66	1 of 7 - Sale ²⁵
	300.000	198.02	06/18/20	171.75	...	26.27	2 of 7 - Sale ²⁵
	50.000	37.53	07/01/20	27.50	...	10.03	3 of 7 - Sale ²⁵
	56.000	43.39	07/01/20	30.79	...	12.60	4 of 7 - Sale ²⁵
	250.000	192.20	07/01/20	137.47	...	54.73	5 of 7 - Sale ²⁵
	44.000	34.09	07/09/20	21.55	...	12.54	6 of 7 - Sale ²⁵
	100.000	75.20	07/09/20	48.99	...	26.21	7 of 7 - Sale ²⁵
07/17/20	1,000.000	712.45	Various	548.41	...	164.04	Total of 7 transactions
BIRKS GROUP INC / CUSIP: 09088U109 / Symbol:							
<i>9 transactions for 07/09/20. Total proceeds and cost reported to the IRS.</i>							
	1.000	1.30	06/15/20	1.28	...	0.02	1 of 9 - Sale ²⁵
	5.000	9.30	06/15/20	6.00	...	3.30	2 of 9 - Sale ²⁵
	14.000	26.04	06/15/20	17.50	...	8.54	3 of 9 - Sale ²⁵
	14.000	26.88	06/15/20	16.24	...	10.64	4 of 9 - Sale ²⁵
	22.000	42.24	06/15/20	24.42	...	17.82	5 of 9 - Sale ²⁵
	31.000	57.66	06/15/20	37.20	...	20.46	6 of 9 - Sale ²⁵
	66.000	117.47	06/15/20	82.50	...	34.97	7 of 9 - Sale ²⁵
	71.000	126.37	06/15/20	90.87	...	35.50	8 of 9 - Sale ²⁵
	64.000	122.87	06/15/20	76.80	...	46.07	9 of 9 - Sale ²⁵
07/09/20	288.000	530.13	Various	352.81	...	177.32	Total of 9 transactions
<i>2 transactions for 09/02/20. Total proceeds and cost reported to the IRS.</i>							
	47.000	33.37	06/15/20	52.64	...	-19.27	1 of 2 - Sale ²⁵
	3.000	2.13	06/15/20	3.33	...	-1.20	2 of 2 - Sale ²⁵
09/02/20	50.000	35.50	Various	55.97	...	-20.47	Total of 2 transactions
Security total:		565.63		408.78	...	156.85	
BIOLASE, INC. COMMON STOCK / CUSIP: 090911207 / Symbol:							
07/21/20	250.000	140.79	06/22/20	128.48	...	12.31	Sale ²⁵

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(continued)

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BLINK CHARGING CO. COMMON STOC K / CUSIP: 09354A100 / Symbol:							
6 transactions for 09/30/20. Total proceeds and cost reported to the IRS.							
	1.000	10.80	09/18/20	7.93	...	2.87	1 of 6 - Sale ²⁵
	23.549	254.33	09/21/20	187.44	...	66.89	2 of 6 - Sale ²⁵
	0.241	2.58	09/23/20	1.89	...	0.69	3 of 6 - Sale ²⁵
	0.329	3.55	09/23/20	2.60	...	0.95	4 of 6 - Sale ²⁵
	5.977	64.55	09/23/20	47.40	...	17.15	5 of 6 - Sale ²⁵
	6.145	66.37	09/23/20	48.11	...	18.26	6 of 6 - Sale ²⁵
09/30/20	37.241	402.18	Various	295.37	...	106.81	Total of 6 transactions
BRICKELL BIOTECH, INC. COMMON STOCK / CUSIP: 10802T105 / Symbol:							
09/09/20	50.000	37.58	06/15/20	105.25	...	-67.67	Sale ²⁵
CBL & ASSOC PPTYS INC COMMON S TOCK / CUSIP: 124830100 / Symbol:							
07/01/20	50.000	13.66	06/22/20	18.50	...	-4.84	Sale ²⁵
CVS HEALTH CORPORATION / CUSIP: 126650100 / Symbol:							
06/01/20	2.000	130.88	03/23/20	107.34	...	23.54	Sale ²⁵
CANADA GOOSE HOLDINGS INC. / CUSIP: 135086106 / Symbol:							
06/05/20	2.000	51.43	03/26/20	42.00	...	9.43	Sale ²⁵
09/14/20	1.000	26.91	09/09/20	24.88	...	2.03	Sale ²⁵
	Security total:	78.34		66.88	...	11.46	
CARNIVAL CORPORATION / CUSIP: 143658300 / Symbol:							
06/15/20	2.000	38.82	04/01/20	18.60	...	20.22	Sale ²⁵
3 transactions for 11/13/20. Total proceeds and cost reported to the IRS.							
	9.000	143.21	09/09/20	158.48	...	-15.27	1 of 3 - Sale ²⁵
	2.000	31.83	09/22/20	28.66	...	3.17	2 of 3 - Sale ²⁵
	10.000	159.13	09/22/20	143.38	...	15.75	3 of 3 - Sale ²⁵
11/13/20	21.000	334.17	Various	330.52	...	3.65	Total of 3 transactions
	Security total:	372.99		349.12	...	23.87	

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CHESAPEAKE ENERGY CORP COMMON STOCK / CUSIP: 165167743 / Symbol:							
2 transactions for 06/05/20. Total proceeds and cost reported to the IRS.							
	0.500	11.23	03/25/20	18.51	...	-7.28	1 of 2 - Sale ²⁵
	0.500	11.23	03/27/20	17.10	...	-5.87	2 of 2 - Sale ²⁵
06/05/20	1.000	22.46	Various	35.61	...	-13.15	Total of 2 transactions
CISCO SYSTEMS, INC. COMMON STO CK (DE) / CUSIP: 17275R102 / Symbol:							
11/09/20	0.494	19.22	10/19/20	19.47	...	-0.25	Sale ²⁵
COCA-COLA COMPANY / CUSIP: 191216100 / Symbol:							
09/22/20	1.000	49.45	09/09/20	50.36	...	-0.91	Sale ²⁵
COCRYSTAL PHARMA, INC. COMMON STOCK / CUSIP: 19188J300 / Symbol:							
06/22/20	36.000	48.78	06/17/20	47.86	...	0.92	Sale ²⁵
4 transactions for 06/25/20. Total proceeds and cost reported to the IRS.							
	1.679	2.61	06/24/20	2.48	...	0.13	1 of 4 - Sale ²⁵
	17.911	27.85	06/24/20	26.06	...	1.79	2 of 4 - Sale ²⁵
	49.000	76.19	06/24/20	72.52	...	3.67	3 of 4 - Sale ²⁵
	68.000	106.07	06/24/20	98.94	...	7.13	4 of 4 - Sale ²⁵
06/25/20	136.589	212.72	Various	200.00	...	12.72	Total of 4 transactions
	Security total:	261.50		247.86	...	13.64	
COMCAST CORPORATION CLASS A CO MMON STOCK / CUSIP: 20030N101 / Symbol:							
09/15/20	1.000	45.16	09/09/20	44.50	...	0.66	Sale ²⁵
CRONOS GROUP INC. COMMON SHARE / CUSIP: 22717L101 / Symbol:							
10/09/20	5.000	29.05	09/09/20	26.23	...	2.82	Sale ²⁵
DELTA AIR LINES, INC. / CUSIP: 247361702 / Symbol:							
2 transactions for 06/16/20. Total proceeds and cost reported to the IRS.							
	5.000	156.40	03/23/20	108.50	...	47.90	1 of 2 - Sale ²⁵
	10.000	312.80	06/05/20	341.86	...	-29.06	2 of 2 - Sale ²⁵
06/16/20	15.000	469.20	Various	450.36	...	18.84	Total of 2 transactions

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DESTINATION XL GROUP INC COMMO N STOCK / CUSIP: 25065K104 / Symbol:							
06/24/20	69.000	52.15	06/24/20	46.92	...	5.23	Sale ²⁵
06/25/20	69.000	48.71	06/24/20	46.91	...	1.80	Sale ²⁵
	Security total:	100.86		93.83	...	7.03	
DIEBOLD NIXDORF INCORPORATED / CUSIP: 253651103 / Symbol:							
06/22/20	10.000	62.52	06/09/20	63.00	...	-0.48	Sale ²⁵
THE WALT DISNEY COMPANY / CUSIP: 254687106 / Symbol:							
2 transactions for 06/01/20. Total proceeds and cost reported to the IRS.							
	1.000	117.26	03/23/20	84.87	...	32.39	1 of 2 - Sale ²⁵
	1.000	117.26	03/23/20	82.00	...	35.26	2 of 2 - Sale ²⁵
06/01/20	2.000	234.52	Various	166.87	...	67.65	Total of 2 transactions
DOLPHIN ENTERTAINMENT, INC. CO MMON STOCK / CUSIP: 25686H100 / Symbol:							
2 transactions for 07/07/20. Total proceeds and cost reported to the IRS.							
	100.697	97.66	06/24/20	99.69	...	-2.03	1 of 2 - Sale ²⁵
	0.312	0.30	06/24/20	0.31	...	-0.01	2 of 2 - Sale ²⁵
07/07/20	101.009	97.96	Various	100.00	...	-2.04	Total of 2 transactions
DRAFTKINGS INC. CLASS A COMMON STOCK / CUSIP: 26142R104 / Symbol:							
09/14/20	1.000	45.83	09/09/20	40.21	...	5.62	Sale ²⁵
EKSO BIONICS HOLDINGS, INC. CO MMON STOCK / CUSIP: 282644301 / Symbol:							
2 transactions for 06/25/20. Total proceeds and cost reported to the IRS.							
	10.000	47.70	06/22/20	37.90	...	9.80	1 of 2 - Sale ²⁵
	10.000	47.90	06/22/20	37.90	...	10.00	2 of 2 - Sale ²⁵
06/25/20	20.000	95.60	Various	75.80	...	19.80	Total of 2 transactions
ENERGY TRANSFER LP COMMON UNIT S REPRESENTING LIMITED PARTNER INTERESTS / CUSIP: 29273V100 / Symbol:							
06/01/20	5.000	40.95	03/27/20	23.65	...	17.30	Sale ²⁵

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EVERI HOLDINGS INC / CUSIP: 30034T103 / Symbol:							
3 transactions for 07/22/20. Total proceeds and cost reported to the IRS.							
	0.263	1.67	07/21/20	1.54	...	0.13	1 of 3 - Sale ²⁵
	3.998	25.47	07/21/20	23.46	...	2.01	2 of 3 - Sale ²⁵
	33.985	216.53	07/21/20	200.00	...	16.53	3 of 3 - Sale ²⁵
07/22/20	38.246	243.67	Various	225.00	...	18.67	Total of 3 transactions
FISKER INC. / CUSIP: 33813J106 / Symbol:							
20 transactions for 11/12/20. Total proceeds and cost reported to the IRS.							
	0.006	0.09	09/23/20	0.09	...	0.00	1 of 20 - Sale ²⁵
	0.337	5.12	09/23/20	5.04	...	0.08	2 of 20 - Sale ²⁵
	0.337	5.12	09/23/20	5.04	...	0.08	3 of 20 - Sale ²⁵
	0.350	5.32	09/23/20	5.22	...	0.10	4 of 20 - Sale ²⁵
	0.351	5.34	09/23/20	5.24	...	0.10	5 of 20 - Sale ²⁵
	0.552	8.39	09/23/20	8.24	...	0.15	6 of 20 - Sale ²⁵
	0.693	10.54	09/23/20	10.36	...	0.18	7 of 20 - Sale ²⁵
	2.448	36.96	09/23/20	36.52	...	0.44	8 of 20 - Sale ²⁵
	2.997	45.55	09/23/20	44.96	...	0.59	9 of 20 - Sale ²⁵
	3.000	45.60	09/23/20	44.96	...	0.64	10 of 20 - Sale ²⁵
	2.995	45.53	09/23/20	44.78	...	0.75	11 of 20 - Sale ²⁵
	5.429	82.51	09/23/20	81.67	...	0.84	12 of 20 - Sale ²⁵
	6.000	91.19	09/23/20	89.64	...	1.55	13 of 20 - Sale ²⁵
	2.132	32.20	09/28/20	30.25	...	1.95	14 of 20 - Sale ²⁵
	3.981	60.50	09/28/20	56.46	...	4.04	15 of 20 - Sale ²⁵
	5.420	81.84	09/28/20	77.02	...	4.82	16 of 20 - Sale ²⁵
	0.721	11.06	10/05/20	10.19	...	0.87	17 of 20 - Sale ²⁵
	4.279	65.69	10/05/20	61.43	...	4.26	18 of 20 - Sale ²⁵
	16.019	243.50	10/05/20	229.96	...	13.54	19 of 20 - Sale ²⁵
	15.000	230.25	10/05/20	214.31	...	15.94	20 of 20 - Sale ²⁵
11/12/20	73.048	1,112.30	Various	1,061.38	...	50.92	Total of 20 transactions
19 transactions for 11/12/20. Total proceeds and cost reported to the IRS.							
	0.674	10.18	09/23/20	11.51	1.33 W	0.00	1 of 19 - Sale ²⁵
	14.326	216.32	09/23/20	244.70	28.38 W	0.00	2 of 19 - Sale ²⁵
	0.109	1.66	09/23/20	1.93	0.27 W	0.00	3 of 19 - Sale ²⁵
	0.256	3.89	09/23/20	4.59	0.70 W	0.00	4 of 19 - Sale ²⁵

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FISKER INC. / CUSIP: 33813J106 / Symbol: (cont'd)							
	0.571	8.69	09/23/20	10.15	1.46 W	0.00	5 of 19 - Sale ²⁵
	0.428	6.50	09/23/20	7.40	0.90 W	0.00	6 of 19 - Sale ²⁵
	0.527	8.01	09/23/20	9.10	1.09 W	0.00	7 of 19 - Sale ²⁵
	0.572	8.70	09/23/20	9.91	1.21 W	0.00	8 of 19 - Sale ²⁵
	0.589	8.95	09/23/20	10.23	1.28 W	0.00	9 of 19 - Sale ²⁵
	1.996	30.34	09/23/20	34.77	4.43 W	0.00	10 of 19 - Sale ²⁵
	6.990	106.25	09/23/20	119.40	13.15 W	0.00	11 of 19 - Sale ²⁵
	0.005	0.07	09/23/20	0.08	0.01 W	0.00	12 of 19 - Sale ²⁵
	0.170	2.58	09/23/20	2.82	0.24 W	0.00	13 of 19 - Sale ²⁵
	0.648	9.85	09/23/20	10.85	1.00 W	0.00	14 of 19 - Sale ²⁵
	0.826	12.55	09/23/20	13.83	1.28 W	0.00	15 of 19 - Sale ²⁵
	1.526	23.20	09/23/20	26.08	2.88 W	0.00	16 of 19 - Sale ²⁵
	2.950	44.83	09/23/20	49.01	4.18 W	0.00	17 of 19 - Sale ²⁵
	3.000	45.60	09/23/20	49.85	4.25 W	0.00	18 of 19 - Sale ²⁵
	5.790	88.01	09/23/20	96.24	8.23 W	0.00	19 of 19 - Sale ²⁵
11/12/20	41.952	636.18	Various	712.45	76.27 W	0.00	Total of 19 transactions
	22 transactions for 11/13/20. Total proceeds and cost reported to the IRS.						
	0.109	1.87	11/12/20	1.87	...	0.00	1 of 22 - Sale ²⁵
	0.005	0.08	11/12/20	0.08	...	0.00	2 of 22 - Sale ²⁵
	0.120	2.05	11/12/20	1.99	...	0.06	3 of 22 - Sale ²⁵
	0.428	7.34	11/12/20	7.17	...	0.17	4 of 22 - Sale ²⁵
	0.589	10.10	11/12/20	9.91	...	0.19	5 of 22 - Sale ²⁵
	0.170	2.92	11/12/20	2.73	...	0.19	6 of 22 - Sale ²⁵
	0.572	9.82	11/12/20	9.61	...	0.21	7 of 22 - Sale ²⁵
	0.527	9.04	11/12/20	8.82	...	0.22	8 of 22 - Sale ²⁵
	0.554	9.51	11/12/20	9.25	...	0.26	9 of 22 - Sale ²⁵
	0.160	2.75	11/12/20	2.35	...	0.40	10 of 22 - Sale ²⁵
	1.996	34.25	11/12/20	33.71	...	0.54	11 of 22 - Sale ²⁵
	0.648	11.12	11/12/20	10.51	...	0.61	12 of 22 - Sale ²⁵
	0.826	14.17	11/12/20	13.39	...	0.78	13 of 22 - Sale ²⁵
	1.526	26.19	11/12/20	25.27	...	0.92	14 of 22 - Sale ²⁵
	2.950	50.61	11/12/20	47.45	...	3.16	15 of 22 - Sale ²⁵
	3.000	51.48	11/12/20	48.26	...	3.22	16 of 22 - Sale ²⁵
	6.990	119.95	11/12/20	115.70	...	4.25	17 of 22 - Sale ²⁵

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Robinhood Securities LLC

Account 124817628

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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FISKER INC. / CUSIP: 33813J106 / Symbol: (cont'd)							
	5.790	99.36	11/12/20	93.17	...	6.19	18 of 22 - Sale ²⁵
	14.326	245.83	11/12/20	238.54	...	7.29	19 of 22 - Sale ²⁵
	5.602	96.12	11/12/20	82.19	...	13.93	20 of 22 - Sale ²⁵
	0.571	10.06	11/13/20	10.06	...	0.00	21 of 22 - Sale ²⁵
	94.173	1,657.38	11/13/20	1,652.73	...	4.65	22 of 22 - Sale ²⁵
11/13/20	141.631	2,472.00	Various	2,424.76	...	47.24	Total of 22 transactions
	3 transactions for 11/13/20. Total proceeds and cost reported to the IRS.						
	0.256	4.39	11/12/20	4.46	0.07 W	0.00	1 of 3 - Sale ²⁵
	0.571	9.81	11/12/20	9.84	0.03 W	0.00	2 of 3 - Sale ²⁵
	0.256	4.51	11/13/20	4.56	0.05 W	0.00	3 of 3 - Sale ²⁵
11/13/20	1.083	18.71	Various	18.86	0.15 W	0.00	Total of 3 transactions
	3 transactions for 11/25/20. Total proceeds and cost reported to the IRS.						
	0.103	2.10	11/25/20	1.84	...	0.26	1 of 3 - Sale ²⁵
	0.153	3.13	11/25/20	2.75	...	0.38	2 of 3 - Sale ²⁵
	21.637	442.04	11/25/20	383.84	...	58.20	3 of 3 - Sale ²⁵
11/25/20	21.893	447.27	Various	388.43	...	58.84	Total of 3 transactions
	3 transactions for 12/10/20. Total proceeds and cost reported to the IRS.						
	10.000	150.50	11/30/20	194.00	43.50 W	0.00	1 of 3 - Sale ²⁵
	8.000	120.40	11/30/20	147.20	26.80 W	0.00	2 of 3 - Sale ²⁵
	10.000	150.25	12/04/20	212.48	43.56 W	-18.67	3 of 3 - Sale ²⁵
12/10/20	28.000	421.15	Various	553.68	113.86 W	-18.67	Total of 3 transactions
	2 transactions for 12/17/20. Total proceeds and cost reported to the IRS.						
	4.000	63.68	12/15/20	83.41	...	-19.73	1 of 2 - Sale ²⁵
	8.000	127.36	12/15/20	143.84	...	-16.48	2 of 2 - Sale ²⁵
12/17/20	12.000	191.04	Various	227.25	...	-36.21	Total of 2 transactions
	Security total:	5,298.65		5,386.81	190.28 W	102.12	
FOOT LOCKER, INC. / CUSIP: 344849104 / Symbol:							
06/01/20	3.000	83.31	03/23/20	55.74	...	27.57	Sale ²⁵

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(continued)

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FORD MOTOR COMPANY / CUSIP: 345370860 / Symbol:							
06/05/20	3.000	22.17	03/25/20	17.03	...	5.14	Sale ²⁵
09/16/20	3.000	21.18	09/09/20	21.08	...	0.10	Sale ²⁵
	Security total:	43.35		38.11	...	5.24	
GENERAL ELECTRIC COMPANY / CUSIP: 369604103 / Symbol:							
<i>5 transactions for 09/18/20. Total proceeds and cost reported to the IRS.</i>							
	0.004	0.03	09/08/20	0.02	...	0.01	1 of 5 - Sale ²⁵
	7.000	49.09	09/08/20	43.33	...	5.76	2 of 5 - Sale ²⁵
	24.996	175.30	09/08/20	154.73	...	20.57	3 of 5 - Sale ²⁵
	0.005	0.03	09/09/20	0.03	...	0.00	4 of 5 - Sale ²⁵
	3.999	28.04	09/09/20	24.22	...	3.82	5 of 5 - Sale ²⁵
09/18/20	36.004	252.49	Various	222.33	...	30.16	Total of 5 transactions
GOPRO, INC. CLASS A COMMON STO CK / CUSIP: 38268T103 / Symbol:							
<i>2 transactions for 06/01/20. Total proceeds and cost reported to the IRS.</i>							
	25.000	119.50	03/05/20	95.21	...	24.29	1 of 2 - Sale ²⁵
	3.000	14.34	03/27/20	7.50	...	6.84	2 of 2 - Sale ²⁵
06/01/20	28.000	133.84	Various	102.71	...	31.13	Total of 2 transactions
09/22/20	10.000	40.22	09/09/20	39.20	...	1.02	Sale ²⁵
	Security total:	174.06		141.91	...	32.15	
GRAN TIERRA ENERGY INC. / CUSIP: 38500T101 / Symbol:							
09/02/20	100.000	27.31	06/09/20	54.80	...	-27.49	Sale ²⁵
GROUPON, INC. COMMON STOCK / CUSIP: 399473107 / Symbol:							
06/01/20	5.000	6.25	03/23/20	3.13	...	3.12	Sale ²⁵
HTG MOLECULAR DIAGNOSTICS, INC . COMMON STOCK / CUSIP: 40434H104 / Symbol:							
<i>3 transactions for 06/22/20. Total proceeds and cost reported to the IRS.</i>							
	14.000	11.34	06/12/20	8.54	...	2.80	1 of 3 - Sale ²⁵
	18.000	14.58	06/12/20	11.73	...	2.85	2 of 3 - Sale ²⁵
	36.000	29.92	06/12/20	21.97	...	7.95	3 of 3 - Sale ²⁵
06/22/20	68.000	55.84	Various	42.24	...	13.60	Total of 3 transactions

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HEAT BIOLOGICS, INC. COMMON STOCK / CUSIP: 42237K300 / Symbol:							
06/25/20	100.000	75.55	06/11/20	81.80	...	-6.25	Sale ²⁵
INOVIO PHARMACEUTICALS, INC. COMMON STOCK / CUSIP: 45773H201 / Symbol:							
06/01/20	2.000	29.64	03/25/20	13.42	...	16.22	Sale ²⁵
INSPIREMD, INC. / CUSIP: 45779A853 / Symbol:							
09/02/20	250.000	92.70	06/25/20	138.78	...	-46.08	Sale ²⁵
INTEL CORPORATION COMMON STOCK / CUSIP: 458140100 / Symbol:							
2 transactions for 08/03/20. Total proceeds and cost reported to the IRS.							
	7.000	337.54	07/24/20	352.10	...	-14.56	1 of 2 - Sale ²⁵
	0.513	24.74	07/24/20	25.81	...	-1.07	2 of 2 - Sale ²⁵
08/03/20	7.513	362.28	Various	377.91	...	-15.63	Total of 2 transactions
09/28/20	1.000	50.41	09/09/20	49.66	...	0.75	Sale ²⁵
	Security total:	412.69		427.57	...	-14.88	
INUVO, INC. / CUSIP: 46122W204 / Symbol:							
06/05/20	30.000	16.58	05/21/20	11.39	...	5.19	Sale ²⁵
06/10/20	60.000	64.79	06/10/20	48.60	...	16.19	Sale ²⁵
2 transactions for 09/02/20. Total proceeds and cost reported to the IRS.							
	60.000	23.97	06/10/20	48.60	...	-24.63	1 of 2 - Sale ²⁵
	140.000	55.95	06/15/20	98.00	...	-42.05	2 of 2 - Sale ²⁵
09/02/20	200.000	79.92	Various	146.60	...	-66.68	Total of 2 transactions
	Security total:	161.29		206.59	...	-45.30	
IZEA WORLDWIDE, INC. COMMON STOCK / CUSIP: 46604H105 / Symbol:							
06/05/20	10.000	6.06	05/21/20	5.15	...	0.91	Sale ²⁵
JPMORGAN CHASE & CO. / CUSIP: 46625H100 / Symbol:							
06/15/20	1.000	100.70	03/23/20	80.80	...	19.90	Sale ²⁵
JAKKS PACIFIC, INC. COMMON STOCK / CUSIP: 47012E403 / Symbol:							
09/09/20	24.000	100.56	07/07/20	205.48	...	-104.92	Sale ²⁵

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LANCADIA HOLDINGS II, INC. CL ASS A COMMON STOCK / CUSIP: 51476X105 / Symbol:							
2 transactions for 07/01/20. Total proceeds and cost reported to the IRS.							
	5.482	83.17	07/01/20	83.39	...	-0.22	1 of 2 - Sale ²⁵
	0.005	0.08	07/01/20	0.08	...	0.00	2 of 2 - Sale ²⁵
07/01/20	5.488	83.25	Various	83.47	...	-0.22	Total of 2 transactions
LIPOCINE INC. COMMON STOCK / CUSIP: 53630X104 / Symbol:							
12/15/20	200.000	272.36	12/10/20	299.80	...	-27.44	Sale ²⁵
LIVE NATION ENTERTAINMENT INC. / CUSIP: 538034109 / Symbol:							
06/01/20	1.000	48.89	03/23/20	35.34	...	13.55	Sale ²⁵
08/27/20	3.000	171.40	06/05/20	171.13	...	0.27	Sale ²⁵
	Security total:	220.29		206.47	...	13.82	
LIVEXLIVE MEDIA, INC. COMMON S TOCK / CUSIP: 53839L208 / Symbol:							
07/06/20	19.000	85.22	06/19/20	73.15	...	12.07	Sale ²⁵
07/07/20	19.000	84.93	06/19/20	73.15	...	11.78	Sale ²⁵
	Security total:	170.15		146.30	...	23.85	
LYFT, INC. CLASS A COMMON STOC K / CUSIP: 55087P104 / Symbol:							
06/01/20	2.000	61.86	03/23/20	41.25	...	20.61	Sale ²⁵
09/15/20	1.000	32.27	09/09/20	29.67	...	2.60	Sale ²⁵
	Security total:	94.13		70.92	...	23.21	
MACY'S INC. / CUSIP: 55616P104 / Symbol:							
2 transactions for 06/05/20. Total proceeds and cost reported to the IRS.							
	3.000	26.53	03/23/20	15.42	...	11.11	1 of 2 - Sale ²⁵
	3.000	26.52	03/23/20	15.30	...	11.22	2 of 2 - Sale ²⁵
06/05/20	6.000	53.05	Various	30.72	...	22.33	Total of 2 transactions
MENLO THERAPEUTICS INC. COMMON STOCK / CUSIP: 586858102 / Symbol:							
2 transactions for 06/16/20. Total proceeds and cost reported to the IRS.							
	10.000	22.35	06/12/20	19.50	...	2.85	1 of 2 - Sale ²⁵
	10.000	22.80	06/12/20	19.50	...	3.30	2 of 2 - Sale ²⁵
06/16/20	20.000	45.15	Various	39.00	...	6.15	Total of 2 transactions

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MICROSOFT CORPORATION COMMON S TOCK / CUSIP: 594918104 / Symbol:							
06/22/20	1.000	199.69	03/23/20	135.39	...	64.30	Sale ²⁵
	2 transactions for 07/30/20. Total proceeds and cost reported to the IRS.						
	0.134	27.28	07/16/20	27.21	...	0.07	1 of 2 - Sale ²⁵
	0.499	101.60	07/16/20	101.31	...	0.29	2 of 2 - Sale ²⁵
07/30/20	0.633	128.88	Various	128.52	...	0.36	Total of 2 transactions
	20 transactions for 07/30/20. Total proceeds and cost reported to the IRS.						
	1.000	202.02	07/15/20	209.37	7.35 W	0.00	1 of 20 - Sale ²⁵
	1.000	203.43	07/15/20	209.37	5.94 W	0.00	2 of 20 - Sale ²⁵
	2.000	407.68	07/15/20	418.74	11.06 W	0.00	3 of 20 - Sale ²⁵
	0.367	74.69	07/15/20	76.78	2.09 W	0.00	4 of 20 - Sale ²⁵
	0.004	0.79	07/15/20	0.84	0.05 W	0.00	5 of 20 - Sale ²⁵
	0.724	147.52	07/16/20	152.41	4.89 W	0.00	6 of 20 - Sale ²⁵
	0.272	55.36	07/16/20	57.20	1.84 W	0.00	7 of 20 - Sale ²⁵
	0.633	128.98	07/16/20	132.37	3.39 W	0.00	8 of 20 - Sale ²⁵
	0.004	0.79	07/16/20	0.84	0.05 W	0.00	9 of 20 - Sale ²⁵
	0.724	147.50	07/16/20	151.99	4.49 W	0.00	10 of 20 - Sale ²⁵
	0.367	74.68	07/16/20	76.57	1.89 W	0.00	11 of 20 - Sale ²⁵
	0.367	74.68	07/16/20	76.66	1.98 W	0.00	12 of 20 - Sale ²⁵
	2.000	407.26	07/16/20	417.23	9.97 W	0.00	13 of 20 - Sale ²⁵
	0.165	33.68	07/17/20	34.66	0.98 W	0.00	14 of 20 - Sale ²⁵
	0.106	21.68	07/17/20	22.31	0.63 W	0.00	15 of 20 - Sale ²⁵
	0.229	46.71	07/17/20	47.76	1.05 W	0.00	16 of 20 - Sale ²⁵
	0.011	2.26	07/17/20	2.30	0.04 W	0.00	17 of 20 - Sale ²⁵
	0.004	0.79	07/17/20	0.83	0.04 W	0.00	18 of 20 - Sale ²⁵
	0.724	147.84	07/17/20	151.44	3.60 W	0.00	19 of 20 - Sale ²⁵
	0.261	53.22	07/17/20	54.29	1.07 W	0.00	20 of 20 - Sale ²⁵
07/30/20	10.963	2,231.56	Various	2,293.96	62.40 W	0.00	Total of 20 transactions
	14 transactions for 08/10/20. Total proceeds and cost reported to the IRS.						
	0.132	27.58	07/17/20	27.52	...	0.06	1 of 14 - Sale ²⁵
	0.367	76.55	07/17/20	76.38	...	0.17	2 of 14 - Sale ²⁵
	1.512	315.56	07/17/20	314.25	...	1.31	3 of 14 - Sale ²⁵
	0.134	28.06	07/20/20	28.14	...	-0.08	4 of 14 - Sale ²⁵
	0.367	76.55	07/20/20	76.48	...	0.07	5 of 14 - Sale ²⁵

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MICROSOFT CORPORATION COMMON S TOCK / CUSIP: 594918104 / Symbol: (cont'd)							
	0.488	101.92	07/20/20	101.74	...	0.18	6 of 14 - Sale ²⁵
	0.724	151.19	08/03/20	157.93	...	-6.74	7 of 14 - Sale ²⁵
	0.261	54.43	08/03/20	56.63	...	-2.20	8 of 14 - Sale ²⁵
	0.229	47.87	08/03/20	49.91	...	-2.04	9 of 14 - Sale ²⁵
	0.381	79.56	08/03/20	81.22	...	-1.66	10 of 14 - Sale ²⁵
	0.106	22.22	08/03/20	23.31	...	-1.09	11 of 14 - Sale ²⁵
	0.031	6.46	08/03/20	6.77	...	-0.31	12 of 14 - Sale ²⁵
	0.011	2.31	08/03/20	2.40	...	-0.09	13 of 14 - Sale ²⁵
	0.004	0.81	08/03/20	0.86	...	-0.05	14 of 14 - Sale ²⁵
08/10/20	4.748	991.07	Various	1,003.54	...	-12.47	Total of 14 transactions
09/22/20	1.000	202.76	09/18/20	198.34	...	4.42	Sale ²⁵
	Security total:	3,753.96		3,759.75	62.40 W	56.61	
NIO INC. AMERICAN DEPOSITORY S HARES, EACH REPRESENTING ONE C LASS A ORDINARY SHARE / CUSIP: 62914V106 / Symbol:							
2 transactions for 11/13/20. Total proceeds and cost reported to the IRS.							
	0.756	34.35	11/04/20	29.71	...	4.64	1 of 2 - Sale ²⁵
	1.000	45.29	11/04/20	39.29	...	6.00	2 of 2 - Sale ²⁵
11/13/20	1.756	79.64	Various	69.00	...	10.64	Total of 2 transactions
NET ELEMENT, INC. COMMON STOCK / CUSIP: 64111R300 / Symbol:							
3 transactions for 11/04/20. Total proceeds and cost reported to the IRS.							
	8.851	55.85	10/14/20	70.10	...	-14.25	1 of 3 - Sale ²⁵
	0.127	0.80	10/14/20	1.20	...	-0.40	2 of 3 - Sale ²⁵
	0.023	0.14	10/14/20	0.18	...	-0.04	3 of 3 - Sale ²⁵
11/04/20	9.000	56.79	Various	71.48	...	-14.69	Total of 3 transactions
11/04/20	0.127	0.80	10/14/20	1.00	0.20 W	0.00	Sale ²⁵
	Security total:	57.59		72.48	0.20 W	-14.69	
NIKE, INC. / CUSIP: 654106103 / Symbol:							
2 transactions for 06/15/20. Total proceeds and cost reported to the IRS.							
	1.000	95.22	03/23/20	65.96	...	29.26	1 of 2 - Sale ²⁵
	1.000	95.24	03/23/20	65.96	...	29.28	2 of 2 - Sale ²⁵
06/15/20	2.000	190.46	Various	131.92	...	58.54	Total of 2 transactions

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Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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NOVAN, INC. COMMON STOCK / CUSIP: 66988N106 / Symbol:							
2 transactions for 06/23/20. Total proceeds and cost reported to the IRS.							
	99.000	61.37	06/15/20	58.09	...	3.28	1 of 2 - Sale ²⁵
	401.000	248.57	06/15/20	231.78	...	16.79	2 of 2 - Sale ²⁵
06/23/20	500.000	309.94	Various	289.87	...	20.07	Total of 2 transactions
15 transactions for 07/16/20. Total proceeds and cost reported to the IRS.							
	1.000	0.58	06/15/20	0.57	...	0.01	1 of 15 - Sale ²⁵
	1.000	0.58	06/15/20	0.57	...	0.01	2 of 15 - Sale ²⁵
	49.000	28.41	06/15/20	27.73	...	0.68	3 of 15 - Sale ²⁵
	99.000	57.91	06/15/20	57.22	...	0.69	4 of 15 - Sale ²⁵
	49.000	28.67	06/15/20	27.73	...	0.94	5 of 15 - Sale ²⁵
	50.000	29.25	06/15/20	28.30	...	0.95	6 of 15 - Sale ²⁵
	50.000	29.25	06/15/20	28.30	...	0.95	7 of 15 - Sale ²⁵
	100.000	57.99	06/15/20	56.60	...	1.39	8 of 15 - Sale ²⁵
	100.000	57.99	06/15/20	56.60	...	1.39	9 of 15 - Sale ²⁵
	100.000	57.99	06/15/20	56.60	...	1.39	10 of 15 - Sale ²⁵
	401.000	232.52	06/15/20	211.29	...	21.23	11 of 15 - Sale ²⁵
	100.000	58.54	06/16/20	66.98	...	-8.44	12 of 15 - Sale ²⁵
	100.000	58.54	06/16/20	66.90	...	-8.36	13 of 15 - Sale ²⁵
	50.000	29.27	06/16/20	33.50	...	-4.23	14 of 15 - Sale ²⁵
	500.000	289.99	06/16/20	290.05	...	-0.06	15 of 15 - Sale ²⁵
07/16/20	1,750.000	1,017.48	Various	1,008.94	...	8.54	Total of 15 transactions
3 transactions for 07/16/20. Total proceeds and cost reported to the IRS.							
	100.000	57.98	06/16/20	66.87	8.89 W	0.00	1 of 3 - Sale ²⁵
	100.000	57.99	06/16/20	66.96	8.97 W	0.00	2 of 3 - Sale ²⁵
	50.000	28.99	06/16/20	33.48	4.49 W	0.00	3 of 3 - Sale ²⁵
07/16/20	250.000	144.96	Various	167.31	22.35 W	0.00	Total of 3 transactions
	Security total:	1,472.38		1,466.12	22.35 W	28.61	

ONCONOVA THERAPEUTICS, INC. CO MMON STOCK / CUSIP: 68232V405 / Symbol:

20 transactions for 11/25/20. Total proceeds and cost reported to the IRS.

	99.813	25.93	07/21/20	136.74	...	-110.81	1 of 20 - Sale ²⁵
	89.000	22.88	07/21/20	108.58	...	-85.70	2 of 20 - Sale ²⁵
	8.606	2.21	07/21/20	11.79	...	-9.58	3 of 20 - Sale ²⁵

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(continued)

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ONCONOVA THERAPEUTICS, INC. CO MMON STOCK / CUSIP: 68232V405 / Symbol: (cont'd)							
	2.340	0.60	07/21/20	2.84	...	-2.24	4 of 20 - Sale ²⁵
	0.703	0.18	07/21/20	0.96	...	-0.78	5 of 20 - Sale ²⁵
	0.187	0.05	07/21/20	0.26	...	-0.21	6 of 20 - Sale ²⁵
	0.187	0.05	07/21/20	0.25	...	-0.20	7 of 20 - Sale ²⁵
	198.139	50.94	07/28/20	227.86	...	-176.92	8 of 20 - Sale ²⁵
	0.118	0.03	07/28/20	0.13	...	-0.10	9 of 20 - Sale ²⁵
	262.745	67.55	07/30/20	303.47	...	-235.92	10 of 20 - Sale ²⁵
	257.000	66.07	07/30/20	296.84	...	-230.77	11 of 20 - Sale ²⁵
	100.000	25.71	07/30/20	119.00	...	-93.29	12 of 20 - Sale ²⁵
	89.623	23.04	07/30/20	104.85	...	-81.81	13 of 20 - Sale ²⁵
	69.000	17.74	07/30/20	82.80	...	-65.06	14 of 20 - Sale ²⁵
	2.740	0.70	07/30/20	3.16	...	-2.46	15 of 20 - Sale ²⁵
	0.352	0.09	07/30/20	0.41	...	-0.32	16 of 20 - Sale ²⁵
	160.000	41.13	08/14/20	154.80	...	-113.67	17 of 20 - Sale ²⁵
	0.150	0.04	08/14/20	0.14	...	-0.10	18 of 20 - Sale ²⁵
	100.000	25.70	08/26/20	31.25	...	-5.55	19 of 20 - Sale ²⁵
	69.000	17.74	08/26/20	21.56	...	-3.82	20 of 20 - Sale ²⁵
11/25/20	1,509.703	388.38	Various	1,607.69	...	-1,219.31	Total of 20 transactions
ONCOCYTE CORPORATION / CUSIP: 68235C107 / Symbol:							
2 transactions for 10/14/20. Total proceeds and cost reported to the IRS.							
	100.000	174.25	10/01/20	136.99	...	37.26	1 of 2 - Sale ²⁵
	100.000	204.99	10/01/20	136.99	...	68.00	2 of 2 - Sale ²⁵
10/14/20	200.000	379.24	Various	273.98	...	105.26	Total of 2 transactions
ORACLE CORP / CUSIP: 68389X105 / Symbol:							
09/16/20	1.000	61.13	09/09/20	57.01	...	4.12	Sale ²⁵
ORAMED PHARMACEUTICALS INC. CO MMON STOCK / CUSIP: 68403P203 / Symbol:							
06/16/20	10.000	40.00	06/15/20	36.85	...	3.15	Sale ²⁵
PAYPAL HOLDINGS, INC. COMMON S TOCK / CUSIP: 70450Y103 / Symbol:							
06/15/20	1.000	153.18	03/23/20	86.40	...	66.78	Sale ²⁵

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(continued)

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PFIZER INC. / CUSIP: 717081103 / Symbol:							
06/05/20	1.000	36.12	03/25/20	30.22	...	5.90	Sale ²⁵
09/28/20	1.000	36.30	09/09/20	36.33	...	-0.03	Sale ²⁵
	Security total:	72.42		66.55	...	5.87	
PHOENIX NEW MEDIA LIMITED / CUSIP: 71910C103 / Symbol:							
<i>3 transactions for 08/10/20. Total proceeds and cost reported to the IRS.</i>							
	228.363	395.04	08/10/20	408.77	...	-13.73	1 of 3 - Sale ²⁵
	31.637	54.73	08/10/20	56.47	...	-1.74	2 of 3 - Sale ²⁵
	0.013	0.02	08/10/20	0.02	...	0.00	3 of 3 - Sale ²⁵
08/10/20	260.013	449.79	Various	465.26	...	-15.47	Total of 3 transactions
PHUNWARE, INC. COMMON STOCK / CUSIP: 71948P100 / Symbol:							
<i>2 transactions for 06/16/20. Total proceeds and cost reported to the IRS.</i>							
	40.000	62.00	06/12/20	47.20	...	14.80	1 of 2 - Sale ²⁵
	60.000	88.20	06/12/20	70.80	...	17.40	2 of 2 - Sale ²⁵
06/16/20	100.000	150.20	Various	118.00	...	32.20	Total of 2 transactions
08/04/20	63.000	103.31	06/16/20	104.58	...	-1.27	Sale ²⁵
<i>2 transactions for 08/06/20. Total proceeds and cost reported to the IRS.</i>							
	98.000	162.67	06/16/20	166.60	...	-3.93	1 of 2 - Sale ²⁵
	2.000	3.32	06/16/20	3.32	...	0.00	2 of 2 - Sale ²⁵
08/06/20	100.000	165.99	Various	169.92	...	-3.93	Total of 2 transactions
	Security total:	419.50		392.50	...	27.00	
POLARITYTE, INC. COMMON STOCK / CUSIP: 731094108 / Symbol:							
06/05/20	30.000	35.10	05/21/20	25.50	...	9.60	Sale ²⁵
PRECIPIO, INC. COMMON STOCK / CUSIP: 74019L503 / Symbol:							
07/30/20	85.000	603.47	07/21/20	142.79	...	460.68	Sale ²⁵
QUALCOMM INCORPORATED COMMON S TOCK / CUSIP: 747525103 / Symbol:							
06/16/20	2.000	178.24	03/23/20	124.54	...	53.70	Sale ²⁵

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REGULUS THERAPEUTICS INC. COMM ON STOCK / CUSIP: 75915K200 / Symbol:							
06/17/20	50.000	49.00	06/12/20	45.99	...	3.01	Sale ²⁵
	<i>5 transactions for 07/20/20. Total proceeds and cost reported to the IRS.</i>						
	14.000	13.33	06/12/20	12.88	...	0.45	1 of 5 - Sale ²⁵
	41.000	39.05	06/15/20	38.03	...	1.02	2 of 5 - Sale ²⁵
	50.000	47.62	06/15/20	46.50	...	1.12	3 of 5 - Sale ²⁵
	100.000	95.23	06/15/20	92.99	...	2.24	4 of 5 - Sale ²⁵
	50.000	49.91	06/15/20	46.50	...	3.41	5 of 5 - Sale ²⁵
07/20/20	255.000	245.14	Various	236.90	...	8.24	Total of 5 transactions
	Security total:	294.14		282.89	...	11.25	
REMARK HOLDINGS, INC. COMMON S TOCK / CUSIP: 75955K102 / Symbol:							
07/01/20	24.000	54.48	06/16/20	65.16	...	-10.68	Sale ²⁵
SCYNEXIS, INC. COMMON STOCK / CUSIP: 811292101 / Symbol:							
06/05/20	10.000	8.50	05/21/20	7.94	...	0.56	Sale ²⁵
SIGMA LABS, INC. COMMON STOCK / CUSIP: 826598500 / Symbol:							
08/25/20	9.000	38.15	08/25/20	44.73	...	-6.58	Sale ²⁵
SLACK TECHNOLOGIES, INC. / CUSIP: 83088V102 / Symbol:							
11/30/20	0.754	32.07	09/02/20	26.32	...	5.75	Sale ²⁵
	<i>5 transactions for 12/02/20. Total proceeds and cost reported to the IRS.</i>						
	0.300	12.83	09/02/20	10.42	...	2.41	1 of 5 - Sale ²⁵
	0.999	42.78	09/02/20	34.74	...	8.04	2 of 5 - Sale ²⁵
	1.000	42.82	09/02/20	34.76	...	8.06	3 of 5 - Sale ²⁵
	3.701	158.39	09/02/20	129.19	...	29.20	4 of 5 - Sale ²⁵
	4.000	171.26	09/09/20	100.48	...	70.78	5 of 5 - Sale ²⁵
12/02/20	10.000	428.08	Various	309.59	...	118.49	Total of 5 transactions
	Security total:	460.15		335.91	...	124.24	
SNAP INC. / CUSIP: 83304A106 / Symbol:							
09/28/20	1.000	25.62	09/09/20	23.80	...	1.82	Sale ²⁵
SONY CORPORATION ADS / CUSIP: 835699307 / Symbol:							
09/22/20	1.000	77.93	09/09/20	77.82	...	0.11	Sale ²⁵

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SOUTHWEST AIRLINES CO. / CUSIP: 844741108 / Symbol:							
09/14/20	10.000	396.80	06/05/20	387.20	...	9.60	Sale ²⁵
SPARTAN ENERGY ACQUISITION COR P. / CUSIP: 846784106 / Symbol:							
7 transactions for 09/22/20. Total proceeds and cost reported to the IRS.							
	0.013	0.21	07/30/20	0.18	...	0.03	1 of 7 - Sale ²⁵
	0.193	3.06	07/30/20	2.66	...	0.40	2 of 7 - Sale ²⁵
	8.390	133.40	07/30/20	116.33	...	17.07	3 of 7 - Sale ²⁵
	36.000	572.38	07/30/20	497.16	...	75.22	4 of 7 - Sale ²⁵
	8.451	134.36	08/04/20	103.31	...	31.05	5 of 7 - Sale ²⁵
	13.000	206.70	08/06/20	161.85	...	44.85	6 of 7 - Sale ²⁵
	0.001	0.02	09/15/20	0.02	...	0.00	7 of 7 - Sale ²⁵
09/22/20	66.048	1,050.13	Various	881.51	...	168.62	Total of 7 transactions
12 transactions for 09/22/20. Total proceeds and cost reported to the IRS.							
	22.928	364.54	09/14/20	398.94	34.40 W	0.00	1 of 12 - Sale ²⁵
	0.589	9.36	09/14/20	10.42	1.06 W	0.00	2 of 12 - Sale ²⁵
	1.996	31.74	09/14/20	35.41	3.67 W	0.00	3 of 12 - Sale ²⁵
	0.527	8.38	09/14/20	9.28	0.90 W	0.00	4 of 12 - Sale ²⁵
	1.000	15.90	09/14/20	17.63	1.73 W	0.00	5 of 12 - Sale ²⁵
	0.005	0.07	09/15/20	0.08	0.01 W	0.00	6 of 12 - Sale ²⁵
	3.000	47.70	09/15/20	52.20	4.50 W	0.00	7 of 12 - Sale ²⁵
	5.790	92.06	09/15/20	100.00	7.94 W	0.00	8 of 12 - Sale ²⁵
	0.170	2.70	09/15/20	2.93	0.23 W	0.00	9 of 12 - Sale ²⁵
	3.000	47.70	09/15/20	51.80	4.10 W	0.00	10 of 12 - Sale ²⁵
	2.950	46.89	09/15/20	50.91	4.02 W	0.00	11 of 12 - Sale ²⁵
	0.936	15.03	09/15/20	17.56	2.53 W	0.00	12 of 12 - Sale ²⁵
09/22/20	42.890	682.07	Various	747.16	65.09 W	0.00	Total of 12 transactions
	Security total:	1,732.20		1,628.67	65.09 W	168.62	
SPIRIT AIRLINES, INC. / CUSIP: 848577102 / Symbol:							
09/15/20	3.000	54.73	09/09/20	52.20	...	2.53	Sale ²⁵
STARBUCKS CORPORATION COMMON S TOCK / CUSIP: 855244109 / Symbol:							
06/01/20	1.000	77.66	03/23/20	56.87	...	20.79	Sale ²⁵

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SUPERIOR INDUSTRIES INTERNATIONAL, INC. / CUSIP: 868168105 / Symbol:							
<i>5 transactions for 07/08/20. Total proceeds and cost reported to the IRS.</i>							
	25.000	44.00	07/06/20	41.25	...	2.75	1 of 5 - Sale ²⁵
	32.000	57.92	07/06/20	52.80	...	5.12	2 of 5 - Sale ²⁵
	45.000	81.44	07/06/20	74.25	...	7.19	3 of 5 - Sale ²⁵
	48.000	86.88	07/06/20	79.20	...	7.68	4 of 5 - Sale ²⁵
	100.000	175.99	07/06/20	167.50	...	8.49	5 of 5 - Sale ²⁵
07/08/20	250.000	446.23	Various	415.00	...	31.23	Total of 5 transactions
SYPRIS SOLUTIONS, INC. COMMON STOCK / CUSIP: 871655106 / Symbol:							
08/11/20	133.000	252.68	08/11/20	191.52	...	61.16	Sale ²⁵
THERMOGENESIS HOLDINGS, INC. COMMON STOCK / CUSIP: 88362L100 / Symbol:							
<i>2 transactions for 06/22/20. Total proceeds and cost reported to the IRS.</i>							
	10.000	61.50	06/11/20	64.00	...	-2.50	1 of 2 - Sale ²⁵
	15.000	92.25	06/15/20	86.97	...	5.28	2 of 2 - Sale ²⁵
06/22/20	25.000	153.75	Various	150.97	...	2.78	Total of 2 transactions
TONIX PHARMACEUTICALS HOLDING CORP. COMMON STOCK / CUSIP: 890260706 / Symbol:							
<i>2 transactions for 12/28/20. Total proceeds and cost reported to the IRS.</i>							
	101.000	67.96	11/30/20	60.80	...	7.16	1 of 2 - Sale ²⁵
	281.000	189.08	11/30/20	169.64	...	19.44	2 of 2 - Sale ²⁵
12/28/20	382.000	257.04	Various	230.44	...	26.60	Total of 2 transactions
TOUGHBUILT INDUSTRIES, INC. COMMON STOCK / CUSIP: 89157G504 / Symbol:							
09/09/20	100.000	66.40	07/07/20	82.55	...	-16.15	Sale ²⁵
TRANSENERIX INC. / CUSIP: 89366M300 / Symbol:							
<i>3 transactions for 07/21/20. Total proceeds and cost reported to the IRS.</i>							
	94.000	36.09	07/07/20	34.87	...	1.22	1 of 3 - Sale ²⁵
	100.000	38.39	07/07/20	37.10	...	1.29	2 of 3 - Sale ²⁵
	300.000	113.72	07/07/20	111.30	...	2.42	3 of 3 - Sale ²⁵
07/21/20	494.000	188.20	Various	183.27	...	4.93	Total of 3 transactions
TRINITY BIOTECH PLC AMERICAN DEPOSITARY SHARES / CUSIP: 896438306 / Symbol:							
06/16/20	10.000	21.45	06/15/20	21.00	...	0.45	Sale ²⁵

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Robinhood Securities LLC

Account 124817628

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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

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

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

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	7- Loss not allowed (X) also not reported (Z)	Gain or loss(-) & Additional information
TWITTER, INC. / CUSIP: 90184L102 / Symbol:							
09/16/20	1.000	39.08	09/09/20	39.59	...	-0.51	Sale ²⁵
UBER TECHNOLOGIES, INC. / CUSIP: 90353T100 / Symbol:							
06/01/20	2.000	71.28	03/23/20	41.92	...	29.36	Sale ²⁵
09/15/20	1.000	38.01	09/09/20	35.15	...	2.86	Sale ²⁵
	Security total:	109.29		77.07	...	32.22	
UNITED AIRLINES HOLDINGS, INC. COMMON STOCK / CUSIP: 910047109 / Symbol:							
09/15/20	1.000	36.84	09/09/20	35.94	...	0.90	Sale ²⁵
URBAN ONE, INC. CLASS D COMMON STOCK / CUSIP: 91705J204 / Symbol:							
09/09/20	75.000	70.49	06/18/20	242.25	...	-171.76	Sale ²⁵
VITAL FARMS, INC. COMMON STOCK / CUSIP: 92847W103 / Symbol:							
11/30/20	3.000	87.14	11/13/20	92.22	...	-5.08	Sale ²⁵
VOLT INFORMATION SCIENCES, INC. / CUSIP: 928703107 / Symbol:							
	<i>2 transactions for 07/02/20. Total proceeds and cost reported to the IRS.</i>						
	25.000	34.75	06/22/20	39.00	...	-4.25	1 of 2 - Sale ²⁵
	25.000	42.25	06/22/20	39.00	...	3.25	2 of 2 - Sale ²⁵
07/02/20	50.000	77.00	Various	78.00	...	-1.00	Total of 2 transactions
	<i>2 transactions for 07/20/20. Total proceeds and cost reported to the IRS.</i>						
	25.000	45.50	06/22/20	39.00	...	6.50	1 of 2 - Sale ²⁵
	25.000	45.75	06/22/20	39.00	...	6.75	2 of 2 - Sale ²⁵
07/20/20	50.000	91.25	Various	78.00	...	13.25	Total of 2 transactions
	Security total:	168.25		156.00	...	12.25	
WALGREENS BOOTS ALLIANCE, INC. COMMON STOCK / CUSIP: 931427108 / Symbol:							
06/05/20	1.000	46.02	03/26/20	42.73	...	3.29	Sale ²⁵
WELLS FARGO & CO. / CUSIP: 949746101 / Symbol:							
06/16/20	2.000	56.96	03/23/20	51.47	...	5.49	Sale ²⁵
WESTWATER RESOURCES, INC. COMM ON STOCK / CUSIP: 961684206 / Symbol:							
09/09/20	118.000	207.78	07/30/20	291.35	...	-83.57	Sale ²⁵

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Robinhood Securities LLC

Account 124817628

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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

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

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

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	7- Loss not allowed (X) also not reported (Z)	Gain or loss(-) & Additional information
XENETIC BIOSCIENCES, INC. COMM ON STOCK / CUSIP: 984015503 / Symbol:							
07/01/20	68.000	68.00	06/16/20	85.67	...	-17.67	Sale ²⁵
ZOMEDICA PHARMACEUTICALS CORP. / CUSIP: 98979F107 / Symbol:							
09/23/20	593.000	51.40	06/11/20	122.75	...	-71.35	Sale ²⁵
ZOMEDICA CORP. / CUSIP: 98980M109 / Symbol:							
<i>14 transactions for 10/05/20. Total proceeds and cost reported to the IRS.</i>							
	307.000	29.01	06/11/20	63.55	...	-34.54	1 of 14 - Sale ²⁵
	100.000	9.45	06/11/20	20.70	...	-11.25	2 of 14 - Sale ²⁵
	500.000	47.24	06/25/20	107.75	...	-60.51	3 of 14 - Sale ²⁵
	400.000	37.79	06/25/20	86.20	...	-48.41	4 of 14 - Sale ²⁵
	147.000	13.89	06/25/20	34.77	...	-20.88	5 of 14 - Sale ²⁵
	100.000	9.45	06/25/20	23.59	...	-14.14	6 of 14 - Sale ²⁵
	100.000	9.45	06/25/20	23.59	...	-14.14	7 of 14 - Sale ²⁵
	100.000	9.45	06/25/20	21.55	...	-12.10	8 of 14 - Sale ²⁵
	322.000	30.42	07/21/20	52.33	...	-21.91	9 of 14 - Sale ²⁵
	149.000	14.08	07/21/20	24.03	...	-9.95	10 of 14 - Sale ²⁵
	146.000	13.79	07/21/20	23.73	...	-9.94	11 of 14 - Sale ²⁵
	100.000	9.45	07/21/20	16.13	...	-6.68	12 of 14 - Sale ²⁵
	413.000	39.02	07/30/20	66.29	...	-27.27	13 of 14 - Sale ²⁵
	200.000	18.90	07/30/20	32.10	...	-13.20	14 of 14 - Sale ²⁵
10/05/20	3,084.000	291.39	Various	596.31	...	-304.92	Total of 14 transactions
CHINA SXT PHARMACEUTICALS, INC . ORDINARY SHARES / CUSIP: G2161P108 / Symbol:							
<i>7 transactions for 07/06/20. Total proceeds and cost reported to the IRS.</i>							
	6.000	3.44	06/22/20	3.41	...	0.03	1 of 7 - Sale ²⁵
	94.000	53.80	06/22/20	53.40	...	0.40	2 of 7 - Sale ²⁵
	49.000	28.11	06/22/20	26.30	...	1.81	3 of 7 - Sale ²⁵
	51.000	29.22	06/25/20	30.48	...	-1.26	4 of 7 - Sale ²⁵
	5.000	2.87	06/25/20	2.81	...	0.06	5 of 7 - Sale ²⁵
	44.000	25.21	06/25/20	24.73	...	0.48	6 of 7 - Sale ²⁵
	45.000	25.82	06/25/20	25.30	...	0.52	7 of 7 - Sale ²⁵
07/06/20	294.000	168.47	Various	166.43	...	2.04	Total of 7 transactions

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Robinhood Securities LLC

Account 124817628

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
CHINA SXT PHARMACEUTICALS, INC . ORDINARY SHARES / CUSIP: G2161P108 / Symbol: (cont'd)							
<i>7 transactions for 07/06/20. Total proceeds and cost reported to the IRS.</i>							
	100.000	55.06	06/18/20	59.30	4.24 W	0.00	1 of 7 - Sale ²⁵
	100.000	56.69	06/18/20	59.30	2.61 W	0.00	2 of 7 - Sale ²⁵
	100.000	56.69	06/19/20	66.24	9.55 W	0.00	3 of 7 - Sale ²⁵
	100.000	56.69	06/19/20	64.61	7.92 W	0.00	4 of 7 - Sale ²⁵
	100.000	57.23	06/19/20	62.00	4.77 W	0.00	5 of 7 - Sale ²⁵
	50.000	28.61	06/22/20	29.21	0.53 W	-0.07	6 of 7 - Sale ²⁵
	50.000	28.62	06/22/20	29.23	0.61 W	0.00	7 of 7 - Sale ²⁵
07/06/20	600.000	339.59	Various	369.89	30.23 W	-0.07	Total of 7 transactions
	Security total:	508.06		536.32	30.23 W	1.97	
CHINA XIANGTAI FOOD CO., LTD. ORDINARY SHARES / CUSIP: G21621100 / Symbol:							
06/22/20	5.000	8.10	06/18/20	8.50	...	-0.40	Sale ²⁵
FARMMI, INC. ORDINARY SHARES / CUSIP: G33277107 / Symbol:							
<i>3 transactions for 08/14/20. Total proceeds and cost reported to the IRS.</i>							
	30.000	30.90	08/14/20	28.80	...	2.10	1 of 3 - Sale ²⁵
	49.000	50.47	08/14/20	47.89	...	2.58	2 of 3 - Sale ²⁵
	140.000	144.19	08/14/20	141.40	...	2.79	3 of 3 - Sale ²⁵
08/14/20	219.000	225.56	Various	218.09	...	7.47	Total of 3 transactions
HUDSON CAPITAL INC. ORDINARY S HARES / CUSIP: G4645C109 / Symbol:							
08/31/20	301.000	136.43	08/25/20	142.79	...	-6.36	Sale ²⁵
NORWEGIAN CRUISE LINE HOLDINGS LTD. ORDINARY SHARES / CUSIP: G66721104 / Symbol:							
06/16/20	5.000	105.06	03/23/20	45.70	...	59.36	Sale ²⁵
TRONOX LIMITED CL A ORDINARY S HARES / CUSIP: G9087Q102 / Symbol:							
06/05/20	1.000	8.63	03/17/20	5.55	...	3.08	Sale ²⁵
PACIFIC DRILLING S.A. ORDINARY SHARES PAR \$0.01 (LUXEMBOURG) / CUSIP: L7257P205 / Symbol:							
<i>2 transactions for 11/04/20. Total proceeds and cost reported to the IRS.</i>							
	150.000	12.73	06/09/20	120.74	...	-108.01	1 of 2 - Sale ²⁵
	387.000	32.86	08/21/20	100.08	...	-67.22	2 of 2 - Sale ²⁵
11/04/20	537.000	45.59	Various	220.82	...	-175.23	Total of 2 transactions

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Robinhood Securities LLC

Account 124817628

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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

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

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

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	7- Loss not allowed (X) also not reported (Z)	Gain or loss(-) & Additional information
ROYAL CARIBBEAN GROUP / CUSIP: V7780T103 / Symbol:							
06/01/20	2.000	104.00	03/23/20	48.43	...	55.57	Sale ²⁵
09/15/20	1.000	67.09	09/09/20	69.83	...	-2.74	Sale ²⁵
	Security total:	171.09		118.26	...	52.83	
Totals :		34,657.63		33,834.45	382.14 W	1,205.32	

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

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

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

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	7- Loss not allowed (X) also not reported (Z)	Gain or loss(-) & Additional information
SIRIUS XM HOLDINGS INC. COMMON STOCK / CUSIP: 82968B103 / Symbol:							
03/31/20	1.000	5.00	09/05/17	5.70	...	-0.70	Sale ²⁵
ZYNGA INC. CLASS A COMMON STOC K / CUSIP: 98986T108 / Symbol:							
03/31/20	1.000	6.96	09/01/17	3.75	...	3.21	Sale ²⁵
Totals :		11.96		9.45		2.51	

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Robinhood Securities LLC

Account 124817628

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
BIOLASE, INC. RIGHTS / CUSIP: 090RGT028 / Symbol: 07/23/20	250.000	0.00	06/22/20	0.00	...	0.00	Gain or loss ²⁵
Totals:		0.00		0.00	...	0.00	

Robinhood Securities LLC

Account 124817628

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
AT&T INC.	00206R102		11/02/20	12.01	Qualified dividend	
APPLE INC. COMMON STOCK	037833100		11/12/20	0.42	Qualified dividend	
BANK OF AMERICA CORPORATION	060505104		06/26/20	0.90	Qualified dividend	
CVS HEALTH CORPORATION	126650100		05/04/20	1.00	Qualified dividend	
COCA-COLA COMPANY	191216100		10/01/20	0.41	Qualified dividend	
FOOT LOCKER, INC.	344849104		05/01/20	1.20	Qualified dividend	
JPMORGAN CHASE & CO.	46625H100		04/30/20	0.90	Qualified dividend	
MICROSOFT CORPORATION COMMON S TOCK	594918104		06/11/20	0.51	Qualified dividend	
NIKE, INC.	654106103		07/01/20	0.49	Qualified dividend	
PFIZER INC.	717081103		06/05/20	0.38	Qualified dividend	
QUALCOMM INCORPORATED COMMON S TOCK	747525103		06/25/20	1.30	Qualified dividend	
SIRIUS XM HOLDINGS INC. COMMON STOCK	82968B103		02/28/20	0.01	Qualified dividend	
STARBUCKS CORPORATION COMMON S TOCK	855244109		05/22/20	0.41	Qualified dividend	
WALGREENS BOOTS ALLIANCE, INC. COMMON STOCK	931427108		06/12/20	0.46	Qualified dividend	
WELLS FARGO & CO.	949746101		06/01/20	1.02	Qualified dividend	
TRONOX LIMITED CL A ORDINARY S HARES	G9087Q102		05/29/20	0.07	Qualified dividend	
				21.49	Total Dividends & distributions	

Robinhood Securities LLC

Account 124817628

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.

Security description	CUSIP and/or symbol	Date	Amount	Transaction type	Notes
ENERGY TRANSFER LP COMMON UNIT S REPRESENTING LIMITED PARTNER INTERESTS	29273V100	05/19/20	1.53	Partnership distribution	
			1.53	Total Partnership distribution	

Robinhood Securities LLC

Account 124817628

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
		04/20/20	-5.00	Margin interest paid	
		05/20/20	-5.00	Margin interest paid	
		06/15/20	-5.00	Margin interest paid	
			-15.00	Total Margin interest paid	
			-15.00	Total Margin interest paid	

Robinhood Securities LLC

Account 124817628

Non-Reportable Actions

2020

02/14/2021

Security Description	CUSIP and/or symbol	Date	Quantity	Amount	Transaction type	Notes
BIOLASE, INC. RIGHTS	090RGT028	07/02/20	250.00	0.00	Stock spinoff	
		07/23/20	-250.00	0.00	Security deemed worthless	
FISKER INC.	33813J106	10/30/20	115.00	0.00	Exchange	
SPARTAN ENERGY ACQUISITION COR P.	846784106	10/30/20	-115.00	0.00	Exchange	
ZOMEDICA PHARMACEUTICALS CORP.	98979F107	10/05/20	-3,084.00	0.00	Exchange	
ZOMEDICA CORP.	98980M109	10/05/20	3,084.00	0.00	Exchange	

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

Common Instructions for Recipient

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Instructions for Recipient

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

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

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

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

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

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

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

1099-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.