

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 118885201	Statement Date: 03/22/2021 AMENDED Document ID: M996 R46 991C	2020
	Madhubabu Vaddepalli 941 Hesters Crossing Rd 1022 Round Rock, TX 78681 RECIPIENT'S TIN: XXX-XX-6267		

Summary Information

DIVIDENDS AND DISTRIBUTIONS	2020 1099-DIV*	OMB No. 1545-0110	MISCELLANEOUS INCOME	2020 1099-MISC*	OMB No. 1545-0115
1a- Total ordinary dividends (includes lines 1b, 5)	5.01		2- Royalties	0.00	
1b- Qualified dividends	2.99		3- Other income	0.00	
2a- Total capital gain distributions (includes lines 2b, 2c, 2d)	0.00		4- Federal income tax withheld	0.00	
2b- Unrecaptured Section 1250 gain	0.00		8- Substitute payments in lieu of dividends or interest	1.04	
2c- Section 1202 gain	0.00				
2d- Collectibles (28%) gain	0.00		SECTION 1256 CONTRACTS	2020 1099-B*	OMB No. 1545-0715
3- Nondividend distributions	1.53		8- Profit or (loss) realized in 2020 on closed contracts	0.00	
4- Federal income tax withheld	0.00		9- Unrealized profit or (loss) on open contracts-12/31/2019	0.00	
5- Section 199A dividends	2.02		10- Unrealized profit or (loss) on open contracts-12/31/2020	0.00	
6- Investment expenses	0.00		11- Aggregate profit or (loss) on contracts	0.00	
8- Foreign country or US possession:	0.00				
7- Foreign tax paid:	0.00				
9- Cash liquidation distributions	0.00				
10- Noncash liquidation distributions	0.00				
11- Exempt-interest dividends (includes line 12)	0.00				
12- Specified private activity bond interest dividends (AMT)	0.00				

If applicable, proceeds from sale transactions appear summarized below and are detailed in subsequent sections of this document.

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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)	57,140.40	59,297.25	0.00	1,064.39	-1,092.46
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	57,140.40	59,297.25	0.00	1,064.39	-1,092.46
Long	D (basis reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Long	E (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Long	F (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
	Total Long-term	0.00	0.00	0.00	0.00	0.00
Undetermined	B or E (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Undetermined	C or F (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
	Total Undetermined-term	0.00	0.00	0.00	0.00	0.00
	Grand total	57,140.40	59,297.25	0.00	1,064.39	-1,092.46

Withholding	Amount
Federal income tax withheld	0.00

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

Robinhood Securities LLC

Account 118885201

Summary Information

2020

(continued)

03/22/2021 AMENDED

INTEREST INCOME

2020 1099-INT

OMB No. 1545-0112

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

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

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

STATE TAX WITHHELD

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

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

ORIGINAL ISSUE DISCOUNT AND ADJUSTMENTS

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

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

RECONCILIATIONS, FEES, EXPENSES AND EXPENDITURES

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

Other Receipts & Reconciliations- Partnership distributions	0.00
Other Receipts & Reconciliations- Foreign tax paid- partnership	0.00
Other Receipts & Reconciliations- Return of principal	0.00
Other Receipts & Reconciliations- Deferred income payment	0.00
Other Receipts & Reconciliations- Deemed premium	0.00
Other Receipts & Reconciliations- Income accrual- UIT	0.00
Other Receipts & Reconciliations- Basis adjustments	0.00
Other Receipts & Reconciliations- Foreign tax pd beyond treaty	0.00
Fees & Expenses- Margin interest	30.23
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 118885201

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

03/22/2021 AMENDED

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

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

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

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

FATCA filing requirement []

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

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

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

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
AAPL 04/09/2020 CALL \$325.00 / CUSIP: / Symbol:							
04/09/20	1.000	0.00	03/03/20	261.00	...	-261.00	Option expiration- long call
ACB 05/22/2020 PUT \$8.00 / CUSIP: / Symbol:							
05/22/20	1.000	0.00	05/15/20	28.00	...	-28.00	Option expiration- long put
ADBE 06/12/2020 PUT \$370.00 / CUSIP: / Symbol:							
06/11/20	1.000	199.98	06/11/20	163.00	...	36.98	Option sale to close-put ²⁵
ANGI 08/21/2020 CALL \$5.00 / CUSIP: / Symbol:							
05/07/20	1.000	419.98	04/23/20	185.00	...	234.98	Option sale to close-call ²⁵
APPS 11/20/2020 CALL \$40.00 / CUSIP: / Symbol:							
11/06/20	1.000	479.97	10/22/20	220.00	...	259.97	Option sale to close-call ²⁵

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Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

03/22/2021 AMENDED

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1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
BA 07/17/2020 CALL \$250.00 / CUSIP: / Symbol:							
06/11/20	1.000	459.97	06/11/20	530.00	...	-70.03	Option sale to close-call ²⁵
BYND 01/17/2020 CALL \$100.00 / CUSIP: / Symbol:							
01/09/20	1.000	112.98	11/11/19	128.00	...	-15.02	Option sale to close-call ²⁵
BYND 02/28/2020 CALL \$130.00 / CUSIP: / Symbol:							
02/26/20	1.000	319.98	02/25/20	228.00	...	91.98	Option sale to close-call ²⁵
BYND 07/17/2020 CALL \$130.00 / CUSIP: / Symbol:							
04/23/20	1.000	504.97	02/28/20	335.00	...	169.97	Option sale to close-call ²⁵
BZUN 01/17/2020 CALL \$41.00 / CUSIP: / Symbol:							
01/17/20	1.000	0.00	11/21/19	110.00	...	-110.00	Option expiration- long call
CDLX 03/20/2020 CALL \$65.00 / CUSIP: / Symbol:							
03/20/20	1.000	0.00	03/04/20	145.00	...	-145.00	Option expiration- long call
DDOG 11/20/2020 CALL \$86.00 / CUSIP: / Symbol:							
11/12/20	1.000	509.97	11/11/20	230.00	...	279.97	Option sale to close-call ²⁵
DKNG 06/19/2020 CALL \$22.50 / CUSIP: / Symbol:							
05/06/20	1.000	309.98	04/24/20	180.00	...	129.98	Option sale to close-call ²⁵
FB 06/12/2020 PUT \$220.00 / CUSIP: / Symbol:							
06/11/20	2.000	213.98	06/11/20	156.00	...	57.98	Option sale to close-put ²⁵
GWRE 03/20/2020 CALL \$100.00 / CUSIP: / Symbol:							
03/20/20	1.000	0.00	03/05/20	75.00	...	-75.00	Option expiration- long call
INO 07/17/2020 CALL \$23.00 / CUSIP: / Symbol:							
06/25/20	1.000	919.96	05/20/20	300.00	...	619.96	Option sale to close-call ²⁵
IVR 06/19/2020 CALL \$4.00 / CUSIP: / Symbol:							
4 transactions for 06/05/20. Total proceeds and cost reported to the IRS.							
	1.000	112.99	06/04/20	10.00	...	102.99	1 of 4 - Option sale to close-call ²⁵
	1.000	112.99	06/04/20	10.00	...	102.99	2 of 4 - Option sale to close-call ²⁵

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2020 1099-B* OMB No. 1545-0715

(continued)

03/22/2021 AMENDED

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
IVR 06/19/2020 CALL \$4.00 / CUSIP: / Symbol: (cont'd)							
	1.000	112.99	06/04/20	10.00	...	102.99	3 of 4 - Option sale to close-call ²⁵
	2.000	225.99	06/04/20	20.00	...	205.99	4 of 4 - Option sale to close-call ²⁵
06/05/20	5.000	564.96	Various	50.00	...	514.96	Total of 4 transactions
JD 11/20/2020 CALL \$91.00 / CUSIP: / Symbol:							
11/20/20	1.000	0.00	11/12/20	295.00	...	-295.00	Option expiration- long call
JDST 02/21/2020 CALL \$10.50 / CUSIP: / Symbol:							
02/21/20	2.000	0.00	02/05/20	140.00	...	-140.00	Option expiration- long call
JDST 03/06/2020 CALL \$11.00 / CUSIP: / Symbol:							
02/04/20	1.000	109.98	01/30/20	65.00	...	44.98	Option sale to close-call ²⁵
JDST 04/03/2020 CALL \$11.00 / CUSIP: / Symbol:							
03/03/20	2.000	239.98	03/03/20	100.00	...	139.98	Option sale to close-call ²⁵
JNUG 01/31/2020 CALL \$80.00 / CUSIP: / Symbol:							
01/29/20	1.000	63.98	01/28/20	46.00	...	17.98	Option sale to close-call ²⁵
JNUG 03/27/2020 CALL \$60.00 / CUSIP: / Symbol:							
2 transactions for 03/27/20. Total proceeds and cost reported to the IRS.							
	1.000	0.00	03/10/20	300.00	...	-300.00	1 of 2 - Option expiration- long call
	1.000	0.00	03/11/20	175.00	...	-175.00	2 of 2 - Option expiration- long call
03/27/20	2.000	0.00	Various	475.00	...	-475.00	Total of 2 transactions
JNUG 04/03/2020 CALL \$65.00 / CUSIP: / Symbol:							
03/03/20	1.000	1,079.96	02/28/20	370.00	...	709.96	Option sale to close-call ²⁵
JNUG 06/19/2020 CALL \$5.00 / CUSIP: / Symbol:							
04/14/20	1.000	344.98	03/20/20	205.00	...	139.98	Option sale to close-call ²⁵
LH 05/15/2020 CALL \$175.00 / CUSIP: / Symbol:							
05/12/20	1.000	29.98	04/30/20	400.00	...	-370.02	Option sale to close-call ²⁵

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Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

03/22/2021 AMENDED

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
M 08/21/2020 CALL \$11.00 / CUSIP: / Symbol:							
2 transactions for 06/08/20. Total proceeds and cost reported to the IRS.							
	2.000	185.99	06/05/20	144.00	...	41.99	1 of 2 - Option sale to close-call ²⁵
	3.000	278.98	06/05/20	216.00	...	62.98	2 of 2 - Option sale to close-call ²⁵
06/08/20	5.000	464.97	Various	360.00	...	104.97	Total of 2 transactions
MGNX 05/15/2020 PUT \$10.00 / CUSIP: / Symbol:							
05/15/20	1.000	0.00	05/06/20	70.00	...	-70.00	Option expiration- long put
MRNA 07/17/2020 CALL \$75.00 / CUSIP: / Symbol:							
06/11/20	1.000	587.97	06/08/20	350.00	...	237.97	Option sale to close-call ²⁵
MSFT 04/03/2020 CALL \$180.00 / CUSIP: / Symbol:							
04/03/20	1.000	0.00	03/03/20	248.00	...	-248.00	Option expiration- long call
MTDR 12/18/2020 CALL \$10.00 / CUSIP: / Symbol:							
12/10/20	1.000	269.98	04/30/20	240.00	...	29.98	Option sale to close-call ²⁵
OSTK 05/15/2020 CALL \$12.50 / CUSIP: / Symbol:							
04/30/20	1.000	199.98	04/28/20	120.00	...	79.98	Option sale to close-call ²⁵
OSTK 05/15/2020 CALL \$5.00 / CUSIP: / Symbol:							
04/08/20	1.000	229.98	03/26/20	125.00	...	104.98	Option sale to close-call ²⁵
OSTK 12/18/2020 CALL \$25.00 / CUSIP: / Symbol:							
07/30/20	1.000	4,399.89	06/11/20	500.00	...	3,899.89	Option sale to close-call ²⁵
PINS 05/15/2020 CALL \$18.50 / CUSIP: / Symbol:							
05/08/20	1.000	139.98	05/06/20	70.00	...	69.98	Option sale to close-call ²⁵
PLAY 06/19/2020 CALL \$18.00 / CUSIP: / Symbol:							
06/08/20	1.000	429.98	06/05/20	295.00	...	134.98	Option sale to close-call ²⁵
QQQ 06/26/2020 PUT \$230.00 / CUSIP: / Symbol:							
06/15/20	1.000	356.98	06/15/20	463.00	...	-106.02	Option sale to close-put ²⁵
ROKU 02/21/2020 CALL \$150.00 / CUSIP: / Symbol:							
02/21/20	1.000	0.00	02/14/20	96.00	...	-96.00	Option expiration- long call

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Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

03/22/2021 AMENDED

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
SAVE 09/18/2020 CALL \$32.50 / CUSIP: / Symbol:							
09/18/20	1.000	0.00	03/10/20	250.00	...	-250.00	Option expiration- long call
SBUX 07/17/2020 PUT \$70.00 / CUSIP: / Symbol:							
3 transactions for 06/11/20. Total proceeds and cost reported to the IRS.							
	1.000	154.99	06/10/20	111.00	...	43.99	1 of 3 - Option sale to close-put ²⁵
	1.000	155.00	06/10/20	111.00	...	44.00	2 of 3 - Option sale to close-put ²⁵
	3.000	464.98	06/10/20	333.00	...	131.98	3 of 3 - Option sale to close-put ²⁵
06/11/20	5.000	774.97	Various	555.00	...	219.97	Total of 3 transactions
SIRI 05/01/2020 CALL \$5.50 / CUSIP: / Symbol:							
04/28/20	5.000	174.98	04/23/20	100.00	...	74.98	Option sale to close-call ²⁵
SPY 05/13/2020 CALL \$296.00 / CUSIP: / Symbol:							
05/12/20	2.000	79.98	05/11/20	162.00	...	-82.02	Option sale to close-call ²⁵
UAL 06/26/2020 PUT \$35.00 / CUSIP: / Symbol:							
06/15/20	1.000	202.98	06/15/20	249.00	...	-46.02	Option sale to close-put ²⁵
UBER 04/17/2020 CALL \$40.00 / CUSIP: / Symbol:							
3 transactions for 04/17/20. Total proceeds and cost reported to the IRS.							
	3.000	0.00	03/04/20	132.00	...	-132.00	1 of 3 - Option expiration- long call
	3.000	0.00	03/10/20	33.00	...	-33.00	2 of 3 - Option expiration- long call
	3.000	0.00	03/10/20	33.00	...	-33.00	3 of 3 - Option expiration- long call
04/17/20	9.000	0.00	Various	198.00	...	-198.00	Total of 3 transactions
UNFI 06/19/2020 CALL \$25.00 / CUSIP: / Symbol:							
06/19/20	1.000	0.00	05/15/20	110.00	...	-110.00	Option expiration- long call
VIPS 07/02/2020 CALL \$20.00 / CUSIP: / Symbol:							
06/16/20	10.000	349.97	06/15/20	500.00	...	-150.03	Option sale to close-call ²⁵
VXX 05/22/2020 PUT \$30.00 / CUSIP: / Symbol:							
05/13/20	5.000	124.98	05/11/20	490.00	...	-365.02	Option sale to close-put ²⁵
WORK 06/12/2020 CALL \$33.50 / CUSIP: / Symbol:							
05/29/20	1.000	269.98	05/12/20	200.00	...	69.98	Option sale to close-call ²⁵

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Robinhood Securities LLC

Account 118885201

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

03/22/2021 AMENDED

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

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1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
XOM 07/17/2020 CALL \$55.00 / CUSIP: / Symbol:							
2 transactions for 07/17/20. Total proceeds and cost reported to the IRS.							
	2.000	0.00	06/08/20	520.00	...	-520.00	1 of 2 - Option expiration- long call
	1.000	0.00	06/08/20	267.00	...	-267.00	2 of 2 - Option expiration- long call
07/17/20	3.000	0.00	Various	787.00	...	-787.00	Total of 2 transactions
ZAGG 06/19/2020 CALL \$5.00 / CUSIP: / Symbol:							
13 transactions for 06/08/20. Total proceeds and cost reported to the IRS.							
	1.000	20.00	06/08/20	15.00	...	5.00	1 of 13 - Option sale to close-call 25
	2.000	39.99	06/08/20	30.00	...	9.99	2 of 13 - Option sale to close-call 25
	3.000	59.99	06/08/20	45.00	...	14.99	3 of 13 - Option sale to close-call 25
	5.000	99.99	06/08/20	75.00	...	24.99	4 of 13 - Option sale to close-call 25
	5.000	99.99	06/08/20	75.00	...	24.99	5 of 13 - Option sale to close-call 25
	7.000	139.98	06/08/20	105.00	...	34.98	6 of 13 - Option sale to close-call 25
	8.000	159.98	06/08/20	120.00	...	39.98	7 of 13 - Option sale to close-call 25
	10.000	199.97	06/08/20	150.00	...	49.97	8 of 13 - Option sale to close-call 25
	10.000	199.97	06/08/20	150.00	...	49.97	9 of 13 - Option sale to close-call 25
	10.000	199.98	06/08/20	150.00	...	49.98	10 of 13 - Option sale to close-call 25
	10.000	199.98	06/08/20	150.00	...	49.98	11 of 13 - Option sale to close-call 25
	14.000	279.96	06/08/20	210.00	...	69.96	12 of 13 - Option sale to close-call 25
	15.000	299.96	06/08/20	225.00	...	74.96	13 of 13 - Option sale to close-call 25
06/08/20	100.000	1,999.74	Various	1,500.00	...	499.74	Total of 13 transactions

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Robinhood Securities LLC

Account 118885201

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

03/22/2021 AMENDED

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

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1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
BEYOND MEAT, INC. COMMON STOCK / CUSIP: 08862E109 / Symbol:							
2 transactions for 03/19/20. Total proceeds and cost reported to the IRS.							
	46.000	2,523.50	03/12/20	3,294.31	...	-770.81	1 of 2 - Sale ²⁵
	14.000	768.02	03/12/20	1,002.61	...	-234.59	2 of 2 - Sale ²⁵
03/19/20	60.000	3,291.52	Various	4,296.92	...	-1,005.40	Total of 2 transactions
DIREXION DAILY GOLD MINERS IND EX BULL 2X SHARES / CUSIP: 25460E844 / Symbol:							
03/03/20	35.000	1,135.37	02/28/20	853.65	...	281.72	Sale ²⁵
03/12/20	220.000	3,348.31	03/12/20	3,051.40	...	296.91	Sale ²⁵
	Security total:	4,483.68		3,905.05	...	578.63	
DIREXION DAILY JUNIOR GOLD MIN ERS INDEX BEAR 2X SHARES / CUSIP: 25460E877 / Symbol:							
6 transactions for 03/12/20. Total proceeds and cost reported to the IRS.							
	50.000	976.94	06/18/19	1,760.42	...	-783.48	1 of 6 - Sale ²⁵
	20.000	390.78	06/18/19	704.76	...	-313.98	2 of 6 - Sale ²⁵
	3.000	58.62	09/17/19	116.67	...	-58.05	3 of 6 - Sale ²⁵
	3.000	58.62	09/17/19	113.39	...	-54.77	4 of 6 - Sale ²⁵
	24.000	468.93	09/17/19	381.26	...	87.67	5 of 6 - Sale ²⁵
	200.000	3,907.76	12/11/19	2,631.46	...	1,276.30	6 of 6 - Sale ²⁵
03/12/20	300.000	5,861.65	Various	5,707.96	...	153.69	Total of 6 transactions
DIREXION DAILY MSCI BRAZIL BUL L 2X SHARES / CUSIP: 25460G708 / Symbol:							
05/04/20	0.771	42.88	03/16/20	92.80	...	-49.92	Cash in lieu
06/02/20	2.000	149.91	03/16/20	240.58	...	-90.67	Sale ²⁵
	Security total:	192.79		333.38	...	-140.59	
DIREXION DAILY JUNIOR GOLD MIN ERS INDEX BULL 2X SHARES / CUSIP: 25460G831 / Symbol:							
2 transactions for 05/19/20. Total proceeds and cost reported to the IRS.							
	10.000	1,020.33	03/11/20	3,798.82	...	-2,778.49	1 of 2 - Sale ²⁵
	20.000	2,040.67	03/20/20	835.66	...	1,205.01	2 of 2 - Sale ²⁵
05/19/20	30.000	3,061.00	Various	4,634.48	...	-1,573.48	Total of 2 transactions

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Robinhood Securities LLC

Account 118885201

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

03/22/2021 AMENDED

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

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1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
DIREXION DAILY GOLD MINERS IND EX BEAR 2X SHARES / CUSIP: 25490K133 / Symbol:							
02/28/20	176.000	1,184.64	07/09/19	1,975.79	791.15 W	0.00	Sale ²⁵
	5 transactions for 03/10/20. Total proceeds and cost reported to the IRS.						
	15.000	96.46	09/17/19	192.05	...	-95.59	1 of 5 - Sale ²⁵
	14.000	90.03	09/17/19	172.26	...	-82.23	2 of 5 - Sale ²⁵
	71.000	456.56	09/17/19	528.23	...	-71.67	3 of 5 - Sale ²⁵
	100.000	643.05	11/29/19	1,047.12	...	-404.07	4 of 5 - Sale ²⁵
	50.000	321.52	12/03/19	355.00	...	-33.48	5 of 5 - Sale ²⁵
03/10/20	250.000	1,607.62	Various	2,294.66	...	-687.04	Total of 5 transactions
03/10/20	50.000	321.53	07/09/19	561.31	115.09 W	-124.69	Sale ²⁵
	5 transactions for 03/11/20. Total proceeds and cost reported to the IRS.						
	100.000	682.00	12/03/19	710.00	...	-28.00	1 of 5 - Sale ²⁵
	200.000	1,364.00	12/11/19	1,382.00	...	-18.00	2 of 5 - Sale ²⁵
	100.000	682.00	12/13/19	686.00	...	-4.00	3 of 5 - Sale ²⁵
	176.000	1,200.33	03/03/20	1,616.41	...	-416.08	4 of 5 - Sale ²⁵
	24.000	163.68	03/03/20	227.63	...	-63.95	5 of 5 - Sale ²⁵
03/11/20	600.000	4,092.01	Various	4,622.04	...	-530.03	Total of 5 transactions
	Security total:	7,205.80		9,453.80	906.24 W	-1,341.76	
DIREXION DAILY MSCI BRAZIL BUL L 2X SHARES / CUSIP: 25490K315 / Symbol:							
04/08/20	3.000	5.01	03/16/20	10.31	...	-5.30	Sale ²⁵ C
FASTLY, INC. / CUSIP: 31188V100 / Symbol:							
12/08/20	10.000	987.57	10/14/20	898.00	...	89.57	Sale ²⁵
J.JILL, INC. COMMON STOCK / CUSIP: 46620W102 / Symbol:							
	2 transactions for 06/08/20. Total proceeds and cost reported to the IRS.						
	100.000	72.00	05/28/20	67.19	...	4.81	1 of 2 - Sale ²⁵
	1,900.000	1,367.73	05/28/20	1,276.61	...	91.12	2 of 2 - Sale ²⁵
06/08/20	2,000.000	1,439.73	Various	1,343.80	...	95.93	Total of 2 transactions
LUCKIN COFFEE INC AMERICAN DEP OSITARY SHARES - SPONSORED / CUSIP: 54951L109 / Symbol:							
	4 transactions for 10/07/20. Total proceeds and cost reported to the IRS.						
	1.000	5.11	02/03/20	32.51	...	-27.40	1 of 4 - Sale ²⁵
	100.000	510.98	03/12/20	3,196.65	...	-2,685.67	2 of 4 - Sale ²⁵

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Robinhood Securities LLC

Account 118885201

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

03/22/2021 AMENDED

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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LUCKIN COFFEE INC AMERICAN DEP OSITARY SHARES - SPONSORED / CUSIP: 54951L109 / Symbol: (cont'd)							
	70.000	357.68	04/03/20	411.60	...	-53.92	3 of 4 - Sale ²⁵
	79.000	403.67	05/20/20	230.68	...	172.99	4 of 4 - Sale ²⁵
10/07/20	250.000	1,277.44	Various	3,871.44	...	-2,594.00	Total of 4 transactions
	2 transactions for 12/09/20. Total proceeds and cost reported to the IRS.						
	51.000	205.62	05/20/20	148.92	...	56.70	1 of 2 - Sale ²⁵
	200.000	806.35	05/27/20	552.00	...	254.35	2 of 2 - Sale ²⁵
12/09/20	251.000	1,011.97	Various	700.92	...	311.05	Total of 2 transactions
	Security total:	2,289.41		4,572.36	...	-2,282.95	
NANO DIMENSION LTD. AMERICAN D EPOSITARY SHARES / CUSIP: 63008G203 / Symbol:							
	4 transactions for 05/20/20. Total proceeds and cost reported to the IRS.						
	6.000	24.36	05/20/20	22.52	...	1.84	1 of 4 - Sale ²⁵
	44.000	178.64	05/20/20	165.17	...	13.47	2 of 4 - Sale ²⁵
	100.000	405.99	05/20/20	375.37	...	30.62	3 of 4 - Sale ²⁵
	100.000	405.99	05/20/20	375.37	...	30.62	4 of 4 - Sale ²⁵
05/20/20	250.000	1,014.98	Various	938.43	...	76.55	Total of 4 transactions
	6 transactions for 05/21/20. Total proceeds and cost reported to the IRS.						
	3.000	9.30	05/20/20	8.96	...	0.34	1 of 6 - Sale ²⁵
	3.000	9.30	05/20/20	8.96	...	0.34	2 of 6 - Sale ²⁵
	47.000	145.69	05/20/20	140.30	...	5.39	3 of 6 - Sale ²⁵
	97.000	300.69	05/20/20	289.54	...	11.15	4 of 6 - Sale ²⁵
	100.000	309.98	05/20/20	298.50	...	11.48	5 of 6 - Sale ²⁵
	100.000	309.98	05/20/20	298.50	...	11.48	6 of 6 - Sale ²⁵
05/21/20	350.000	1,084.94	Various	1,044.76	...	40.18	Total of 6 transactions
	Security total:	2,099.92		1,983.19	...	116.73	
NEW RESIDENTIAL INVESTMENT COR P / CUSIP: 64828T201 / Symbol:							
03/26/20	70.000	550.88	03/26/20	487.90	...	62.98	Sale ²⁵
04/29/20	65.000	429.65	04/09/20	385.87	...	43.78	Sale ²⁵
	Security total:	980.53		873.77	...	106.76	
NUTANIX, INC. CLASS A COMMON S TOCK / CUSIP: 67059N108 / Symbol:							
08/28/20	35.000	969.47	02/26/20	970.90	...	-1.43	Sale ²⁵

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Account 118885201

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2020 1099-B* OMB No. 1545-0715

(continued)

03/22/2021 AMENDED

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ONCONOVA THERAPEUTICS, INC. CO MMON STOCK / CUSIP: 68232V405 / Symbol:							
07/16/20	1,000.000	650.16	06/11/20	688.60	...	-38.44	Sale ²⁵
OVERSTOCK.COM, INC. COMMON STO CK / CUSIP: 690370101 / Symbol:							
2 transactions for 02/21/20. Total proceeds and cost reported to the IRS.							
	41.000	376.82	11/12/19	677.60	...	-300.78	1 of 2 - Sale ²⁵
	5.000	45.95	11/12/19	85.75	...	-39.80	2 of 2 - Sale ²⁵
02/21/20	46.000	422.77	Various	763.35	...	-340.58	Total of 2 transactions
2 transactions for 02/21/20. Total proceeds and cost reported to the IRS.							
	46.000	422.77	09/24/19	548.24	125.47 W	0.00	1 of 2 - Sale ²⁵
	29.000	266.53	11/12/19	503.49	32.68 W	-204.28	2 of 2 - Sale ²⁵
02/21/20	75.000	689.30	Various	1,051.73	158.15 W	-204.28	Total of 2 transactions
04/08/20	2.000	12.40	02/25/20	31.96	...	-19.56	Sale ²⁵
2 transactions for 04/14/20. Total proceeds and cost reported to the IRS.							
	46.000	409.92	02/25/20	484.63	...	-74.71	1 of 2 - Sale ²⁵
	2.000	17.82	02/25/20	31.95	...	-14.13	2 of 2 - Sale ²⁵
04/14/20	48.000	427.74	Various	516.58	...	-88.84	Total of 2 transactions
	Security total:	1,552.21		2,363.62	158.15 W	-653.26	
SMILEDIRECTCLUB, INC. CLASS A COMMON STOCK / CUSIP: 83192H106 / Symbol:							
05/11/20	100.000	896.98	05/07/20	748.00	...	148.98	Sale ²⁵
TARONIS TECHNOLOGIES INC COMMO N STOCK / CUSIP: 876214206 / Symbol:							
12/09/20	175.000	4.97	04/17/20	62.81	...	-57.84	Sale ²⁵
TELLURIAN INC. COMMON STOCK / CUSIP: 87968A104 / Symbol:							
2 transactions for 04/02/20. Total proceeds and cost reported to the IRS.							
	67.000	65.81	03/10/20	62.80	...	3.01	1 of 2 - Sale ²⁵
	933.000	916.48	03/10/20	874.50	...	41.98	2 of 2 - Sale ²⁵
04/02/20	1,000.000	982.29	Various	937.30	...	44.99	Total of 2 transactions
12/09/20	500.000	749.92	04/15/20	855.00	...	-105.08	Sale ²⁵
	Security total:	1,732.21		1,792.30	...	-60.09	

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(continued)

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WAH FU EDUCATION GROUP LIMITED ORDINARY SHARES / CUSIP: G94184101 / Symbol:							
06/11/20	100.000	1,492.96	06/11/20	1,200.00	...	292.96	Sale ²⁵
Totals :		57,140.40		59,297.25	1,064.39 W	-1,092.46	

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Robinhood Securities LLC

Account 118885201

Detail for Dividends and Distributions

2020

03/22/2021 AMENDED

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
DIREXION DAILY JUNIOR GOLD MIN ERS INDEX BULL 2X SHARES	25460E166		03/31/20	2.11	Qualified dividend	03
			03/31/20	0.51	Nondividend distribution	03
				2.62	Total Dividends & distributions	
DIREXION DAILY MSCI BRAZIL BUL L 2X SHARES	25490K315		03/31/20	0.36	Qualified dividend	03
			03/31/20	0.31	Nondividend distribution	03
				0.67	Total Dividends & distributions	
NEW RESIDENTIAL INVESTMENT COR P	64828T201		05/15/20	2.02	Section 199A dividend	03
			05/15/20	0.71	Nondividend distribution	03
			05/15/20	0.52	Qualified dividend	03
				3.25	Total Dividends & distributions	
				6.54	Total Dividends & distributions	

Robinhood Securities LLC

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Detail for Miscellaneous Income

2020

03/22/2021 AMENDED

<u>Security description</u>	<u>CUSIP and/or symbol</u>	<u>Date</u>	<u>Amount</u>	<u>Transaction type</u>	<u>Notes</u>
DIREXION DAILY JUNIOR GOLD MIN ERS INDEX BULL 2X SHARES	25460E166	03/31/20	1.03	Substitute payment	
DIREXION DAILY MSCI BRAZIL BUL L 2X SHARES	25490K315	03/31/20	0.01	Substitute payment	
			1.04	Total Miscellaneous income	

Robinhood Securities LLC

Account 118885201

Fees and Expenses

2020

03/22/2021 AMENDED

This section of your tax information statement may contain the detail of fees and investment expenses that are not accounted for in amounts reportable to the IRS on the various Forms 1099. You may wish to consult with your tax advisor, the IRS or your state tax authority regarding the proper treatment.

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

Description	CUSIP and/or symbol	Date	Amount	Transaction type	Notes
		02/13/20	-3.51	Margin interest paid	
		02/13/20	-5.00	Margin interest paid	
		03/16/20	-4.38	Margin interest paid	
		04/13/20	-3.02	Margin interest paid	
		05/13/20	-0.14	Margin interest paid	
		05/28/20	0.82	Adj- Margin interest paid	
		06/12/20	-0.01	Margin interest paid	
		06/12/20	-5.00	Margin interest paid	
		07/13/20	-5.00	Margin interest paid	
		07/14/20	0.01	Adj- Margin interest paid	
		08/11/20	-5.00	Margin interest paid	
			-30.23	Total Margin interest paid	
			-30.23	Total Margin interest paid	

- 03 The tax character of the distribution has been allocated based on information provided by the security issuer.

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

Common Instructions for Recipient

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Instructions for Recipient

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

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

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

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

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

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

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

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.

1099-MISC Instructions for Recipient

Line 2. Report royalties from oil, gas, or mineral properties, copyrights, and patents on Schedule E (Form 1040). However, report payments for a working interest as explained in the box 7 instructions. For royalties on timber, coal, and iron ore, see Pub. 544.

Line 3. Generally, report this amount on the "Other income" line on Form 1040 (or Form 1040NR) and identify the payment. The amount shown may be payments received as the beneficiary of a deceased employee, prizes, awards, taxable damages, Indian gaming profits, or other taxable income. See Pub. 525. If it is trade or business income, report this amount on Schedule C or F (Form 1040).

Line 4. See "Backup Withholding" section.

Line 8. Shows substitute payments in lieu of dividends or tax-exempt interest received by your broker on your behalf as a result of a loan of your securities. Report on the "Other income" line of Schedule 1 (Form 1040) (or Form 1040NR).

Lines 16-18. Show state or local income tax withheld from the payments.