

<b>Robinhood Securities LLC</b> 500 Colonial Center Parkway Suite 100 Lake Mary, FL 32746 Customer Service: 650-940-2700  PAYER'S TIN: 38-4019216	<b>Tax Information</b> <b>Account 112842083</b>	Statement Date: 02/14/2021 Document ID: 775D HYR 3102	2020
	Anand Gupta 519 Village Dr 519 Edison, NJ 08817  RECIPIENT'S TIN: XXX-XX-7111		

**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)	16.70		2- Royalties	0.00	
1b- Qualified dividends	11.62		3- Other income	0.00	
2a- Total capital gain distributions (includes lines 2b, 2c, 2d)	0.14		<b>4- Federal income tax withheld</b>	<b>0.00</b>	
2b- Unrecaptured Section 1250 gain	0.01		8- Substitute payments in lieu of dividends or interest	0.00	
2c- Section 1202 gain	0.00				
2d- Collectibles (28%) gain	0.00		<b>SECTION 1256 CONTRACTS</b>	<b>2020 1099-B*</b>	OMB No. 1545-0715
3- Nondividend distributions	0.20		8- Profit or (loss) realized in 2020 on closed contracts	0.00	
<b>4- Federal income tax withheld</b>	<b>0.00</b>		9- Unrealized profit or (loss) on open contracts-12/31/2019	0.00	
5- Section 199A dividends	5.08		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)	24,823.92	27,560.14	0.00	2,890.52	154.30
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)	30.00	69.64	0.00	0.00	-39.64
	<b>Total Short-term</b>	<b>24,853.92</b>	<b>27,629.78</b>	<b>0.00</b>	<b>2,890.52</b>	<b>114.66</b>
Long	D (basis reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Long	E (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Long	F (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
	<b>Total Long-term</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
Undetermined	B or E (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Undetermined	C or F (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
	<b>Total Undetermined-term</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
	<b>Grand total</b>	<b>24,853.92</b>	<b>27,629.78</b>	<b>0.00</b>	<b>2,890.52</b>	<b>114.66</b>
<b>Withholding</b>		<b>Amount</b>				
	Federal income tax withheld	0.00				

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

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

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

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

**STATE TAX WITHHELD**

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

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

**ORIGINAL ISSUE DISCOUNT AND ADJUSTMENTS**

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

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

**RECONCILIATIONS, FEES, EXPENSES AND EXPENDITURES**

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

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

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**Proceeds from Broker and Barter Exchange Transactions**

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

02/14/2021

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

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

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

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

FATCA filing requirement [ ]

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

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

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
ADT INC. / CUSIP: 00090Q103 / Symbol:							
2 transactions for 12/23/20. Total proceeds and cost reported to the IRS.							
	3.000	24.51	12/10/20	26.16	...	-1.65	1 of 2 - Sale <sup>25</sup>
	2.000	16.34	12/10/20	17.43	...	-1.09	2 of 2 - Sale <sup>25</sup>
12/23/20	5.000	40.85	Various	43.59	...	-2.74	Total of 2 transactions
AMC ENTERTAINMENT HOLDINGS, IN C. / CUSIP: 00165C104 / Symbol:							
05/11/20	3.000	17.20	05/11/20	15.53	...	1.67	Sale <sup>25</sup>
ALCOA CORPORATION / CUSIP: 013872106 / Symbol:							
06/03/20	5.000	53.61	05/13/20	35.04	...	18.57	Sale <sup>25</sup>
2 transactions for 11/09/20. Total proceeds and cost reported to the IRS.							
	5.000	79.56	05/13/20	35.04	...	44.52	1 of 2 - Sale <sup>25</sup>

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**Proceeds from Broker and Barter Exchange Transactions**

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

(continued)

02/14/2021

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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
ALCOA CORPORATION / CUSIP: 013872106 / Symbol: (cont'd)							
	2.000	31.83	06/05/20	24.46	...	7.37	2 of 2 - Sale <sup>25</sup>
11/09/20	7.000	111.39	Various	59.50	...	51.89	Total of 2 transactions
11/16/20	2.000	34.81	06/05/20	24.46	...	10.35	Sale <sup>25</sup>
	<b>Security total:</b>	<b>199.81</b>		<b>119.00</b>	...	<b>80.81</b>	
ARCIMOTO, INC. COMMON STOCK / CUSIP: 039587100 / Symbol:							
11/20/20	1.000	16.96	11/20/20	13.78	...	3.18	Sale <sup>25</sup>
12/09/20	20.000	244.19	11/30/20	258.40	14.21 W	0.00	Sale <sup>25</sup>
12/23/20	10.000	148.80	12/01/20	131.81	...	16.99	Sale <sup>25</sup>
12/24/20	5.000	75.70	12/02/20	63.54	...	12.16	Sale <sup>25</sup>
	<b>Security total:</b>	<b>485.65</b>		<b>467.53</b>	<b>14.21 W</b>	<b>32.33</b>	
BP P.L.C. / CUSIP: 055622104 / Symbol:							
3 transactions for 12/10/20. Total proceeds and cost reported to the IRS.							
	1.000	22.56	06/19/20	24.16	...	-1.60	1 of 3 - Sale <sup>25</sup>
	1.900	42.87	10/15/20	31.24	...	11.63	2 of 3 - Sale <sup>25</sup>
	2.000	45.12	10/15/20	32.88	...	12.24	3 of 3 - Sale <sup>25</sup>
12/10/20	4.900	110.55	Various	88.28	...	22.27	Total of 3 transactions
BANK OF AMERICA CORPORATION / CUSIP: 060505104 / Symbol:							
03/24/20	1.000	20.47	03/11/20	22.82	...	-2.35	Sale <sup>25</sup>
BERKSHIRE HATHAWAY CLASS B / CUSIP: 084670702 / Symbol:							
08/27/20	1.000	216.78	05/11/20	175.19	...	41.59	Sale <sup>25</sup>
11/09/20	0.750	167.39	05/13/20	127.87	...	39.52	Sale <sup>25</sup>
2 transactions for 11/16/20. Total proceeds and cost reported to the IRS.							
	0.100	23.26	05/13/20	17.05	...	6.21	1 of 2 - Sale <sup>25</sup>
	0.100	23.27	05/13/20	17.05	...	6.22	2 of 2 - Sale <sup>25</sup>
11/16/20	0.200	46.53	Various	34.10	...	12.43	Total of 2 transactions
	<b>Security total:</b>	<b>430.70</b>		<b>337.16</b>	...	<b>93.54</b>	
BIOMERICA, INC. COMMON STOCK / CUSIP: 09061H307 / Symbol:							
03/26/20	10.000	69.00	03/19/20	218.90	...	-149.90	Sale <sup>25</sup>

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**Proceeds from Broker and Barter Exchange Transactions**

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

(continued)

02/14/2021

**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
BIOCEPT, INC. COMMON STOCK / CUSIP: 09072V402 / Symbol:							
06/17/20	15.000	9.39	06/08/20	8.45	...	0.94	Sale <sup>25</sup>
06/19/20	4.000	3.48	06/08/20	2.25	...	1.23	Sale <sup>25</sup>
	<b>Security total:</b>	<b>12.87</b>		<b>10.70</b>	...	<b>2.17</b>	
BLACKBERRY LIMITED / CUSIP: 09228F103 / Symbol:							
12/09/20	4.000	32.56	12/02/20	31.54	...	1.02	Sale <sup>25</sup>
12/23/20	1.000	7.12	12/02/20	7.89	...	-0.77	Sale <sup>25</sup>
	<b>Security total:</b>	<b>39.68</b>		<b>39.43</b>	...	<b>0.25</b>	
BLINK CHARGING CO. COMMON STOCK / CUSIP: 09354A100 / Symbol:							
07/01/20	4.000	18.12	06/10/20	9.75	...	8.37	Sale <sup>25</sup>
11/18/20	0.900	13.30	06/10/20	2.20	...	11.10	Sale <sup>25</sup>
	<i>2 transactions for 12/17/20. Total proceeds and cost reported to the IRS.</i>						
	0.100	3.48	06/10/20	0.24	...	3.24	1 of 2 - Sale <sup>25</sup>
	0.900	31.27	12/02/20	20.63	...	10.64	2 of 2 - Sale <sup>25</sup>
12/17/20	1.000	34.75	Various	20.87	...	13.88	Total of 2 transactions
	<b>Security total:</b>	<b>66.17</b>		<b>32.82</b>	...	<b>33.35</b>	
BOEING COMPANY / CUSIP: 097023105 / Symbol:							
06/03/20	1.000	167.86	04/17/20	152.35	...	15.51	Sale <sup>25</sup>
06/09/20	1.000	217.36	04/17/20	152.35	...	65.01	Sale <sup>25</sup>
10/06/20	0.500	87.15	05/13/20	60.18	...	26.97	Sale <sup>25</sup>
	<i>3 transactions for 11/09/20. Total proceeds and cost reported to the IRS.</i>						
	0.500	88.97	05/13/20	60.17	...	28.80	1 of 3 - Sale <sup>25</sup>
	0.250	44.48	09/24/20	36.55	...	7.93	2 of 3 - Sale <sup>25</sup>
	0.250	44.49	10/28/20	37.05	...	7.44	3 of 3 - Sale <sup>25</sup>
11/09/20	1.000	177.94	Various	133.77	...	44.17	Total of 3 transactions
11/16/20	0.500	100.72	10/28/20	74.10	...	26.62	Sale <sup>25</sup>
	<b>Security total:</b>	<b>751.03</b>		<b>572.75</b>	...	<b>178.28</b>	
CYTOKINETICS, INCORPORATED COMMON STOCK / CUSIP: 23282W605 / Symbol:							
12/09/20	5.000	93.05	10/09/20	79.00	...	14.05	Sale <sup>25</sup>
12/10/20	4.000	80.80	10/09/20	63.20	...	17.60	Sale <sup>25</sup>
	<b>Security total:</b>	<b>173.85</b>		<b>142.20</b>	...	<b>31.65</b>	

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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
DELTA AIR LINES, INC. / CUSIP: 247361702 / Symbol:							
2 transactions for 06/03/20. Total proceeds and cost reported to the IRS.							
	5.000	140.95	05/12/20	105.49	...	35.46	1 of 2 - Sale <sup>25</sup>
	5.000	140.95	05/13/20	97.38	...	43.57	2 of 2 - Sale <sup>25</sup>
06/03/20	10.000	281.90	Various	202.87	...	79.03	Total of 2 transactions
06/05/20	2.000	68.87	06/04/20	64.56	...	4.31	Sale <sup>25</sup>
06/05/20	2.000	68.86	06/05/20	71.60	2.74 W	0.00	Sale <sup>25</sup>
06/09/20	2.000	68.62	06/05/20	72.68	4.06 W	0.00	Sale <sup>25</sup>
2 transactions for 10/06/20. Total proceeds and cost reported to the IRS.							
	2.000	64.66	06/12/20	64.58	...	0.08	1 of 2 - Sale <sup>25</sup>
	3.000	96.99	06/12/20	90.78	...	6.21	2 of 2 - Sale <sup>25</sup>
10/06/20	5.000	161.65	Various	155.36	...	6.29	Total of 2 transactions
11/02/20	1.000	30.19	06/12/20	30.26	0.07 W	0.00	Sale <sup>25</sup>
2 transactions for 11/09/20. Total proceeds and cost reported to the IRS.							
	1.000	35.66	06/12/20	30.26	...	5.40	1 of 2 - Sale <sup>25</sup>
	3.000	107.37	06/12/20	90.78	...	16.59	2 of 2 - Sale <sup>25</sup>
11/09/20	4.000	143.03	Various	121.04	...	21.99	Total of 2 transactions
11/16/20	1.000	37.99	10/28/20	28.93	...	9.06	Sale <sup>25</sup>
<b>Security total:</b>		<b>861.11</b>		<b>747.30</b>	<b>6.87 W</b>	<b>120.68</b>	
DIREXION DAILY SMALL CAP BULL 3X SHARES / CUSIP: 25459W847 / Symbol:							
2 transactions for 05/01/20. Total proceeds and cost reported to the IRS.							
	1.000	20.68	04/17/20	18.89	...	1.79	1 of 2 - Sale <sup>25</sup>
	9.000	186.12	04/17/20	169.92	...	16.20	2 of 2 - Sale <sup>25</sup>
05/01/20	10.000	206.80	Various	188.81	...	17.99	Total of 2 transactions
2 transactions for 05/20/20. Total proceeds and cost reported to the IRS.							
	3.000	70.59	05/13/20	54.00	...	16.59	1 of 2 - Sale <sup>25</sup>
	5.000	117.66	05/13/20	90.50	...	27.16	2 of 2 - Sale <sup>25</sup>
05/20/20	8.000	188.25	Various	144.50	...	43.75	Total of 2 transactions
2 transactions for 06/03/20. Total proceeds and cost reported to the IRS.							
	2.000	59.70	05/13/20	36.00	...	23.70	1 of 2 - Sale <sup>25</sup>
	3.000	89.56	05/14/20	48.32	...	41.24	2 of 2 - Sale <sup>25</sup>
06/03/20	5.000	149.26	Various	84.32	...	64.94	Total of 2 transactions
06/09/20	2.000	65.13	05/14/20	32.21	...	32.92	Sale <sup>25</sup>

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Robinhood Securities LLC

Account 112842083

**Proceeds from Broker and Barter Exchange Transactions**

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

(continued)

02/14/2021

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
DIREXION DAILY SMALL CAP BULL 3X SHARES / CUSIP: 25459W847 / Symbol: (cont'd)							
07/21/20	3.000	90.43	06/12/20	73.26	...	17.17	Sale <sup>25</sup>
10/06/20	2.000	72.12	06/12/20	48.84	...	23.28	Sale <sup>25</sup>
	<b>Security total:</b>	<b>771.99</b>		<b>571.94</b>	...	<b>200.05</b>	
DIREXION DAILY SMALL CAP BEAR 3X SHARES / CUSIP: 25460E125 / Symbol:							
05/12/20	4.000	130.12	04/06/20	243.04	...	-112.92	Sale <sup>25</sup>
DIREXION DAILY JUNIOR GOLD MIN ERS INDEX BULL 2X SHARES / CUSIP: 25460E166 / Symbol:							
5 transactions for 03/24/20. Total proceeds and cost reported to the IRS.							
	3.000	16.20	03/19/20	11.27	...	4.93	1 of 5 - Sale <sup>25</sup>
	10.000	54.03	03/19/20	37.60	...	16.43	2 of 5 - Sale <sup>25</sup>
	15.000	81.00	03/19/20	56.40	...	24.60	3 of 5 - Sale <sup>25</sup>
	25.000	135.00	03/19/20	99.00	...	36.00	4 of 5 - Sale <sup>25</sup>
	10.000	54.03	03/23/20	40.80	...	13.23	5 of 5 - Sale <sup>25</sup>
03/24/20	63.000	340.26	Various	245.07	...	95.19	Total of 5 transactions
DIREXION DAILY GOLD MINERS IND EX BEAR 2X SHARES / CUSIP: 25460G880 / Symbol:							
7 transactions for 05/12/20. Total proceeds and cost reported to the IRS.							
	1.400	42.14	04/15/20	116.32	...	-74.18	1 of 7 - Sale <sup>25</sup>
	0.320	9.63	04/15/20	24.99	...	-15.36	2 of 7 - Sale <sup>25</sup>
	1.040	30.59	04/15/20	44.46	...	-13.87	3 of 7 - Sale <sup>25</sup>
	1.040	31.31	04/15/20	44.46	...	-13.15	4 of 7 - Sale <sup>25</sup>
	0.120	3.61	04/15/20	9.97	...	-6.36	5 of 7 - Sale <sup>25</sup>
	0.080	2.41	04/15/20	6.25	...	-3.84	6 of 7 - Sale <sup>25</sup>
	0.040	1.20	04/15/20	3.31	...	-2.11	7 of 7 - Sale <sup>25</sup>
05/12/20	4.040	120.89	Various	249.76	...	-128.87	Total of 7 transactions
5 transactions for 05/12/20. Total proceeds and cost reported to the IRS.							
	0.080	2.35	03/24/20	5.18	2.83 W	0.00	1 of 5 - Sale <sup>25</sup>
	0.320	9.41	03/24/20	20.72	11.31 W	0.00	2 of 5 - Sale <sup>25</sup>
	1.400	41.18	03/30/20	97.65	56.47 W	0.00	3 of 5 - Sale <sup>25</sup>
	0.120	3.53	03/30/20	8.37	4.84 W	0.00	4 of 5 - Sale <sup>25</sup>
	0.040	1.18	03/30/20	2.78	1.60 W	0.00	5 of 5 - Sale <sup>25</sup>
05/12/20	1.960	57.65	Various	134.70	77.05 W	0.00	Total of 5 transactions
	<b>Security total:</b>	<b>178.54</b>		<b>384.46</b>	<b>77.05 W</b>	<b>-128.87</b>	

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Robinhood Securities LLC

Account 112842083

## Proceeds from Broker and Barter Exchange Transactions

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

(continued)

02/14/2021

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DIREXION DAILY GOLD MINERS IND EX BEAR 2X SHARES / CUSIP: 25490K133 / Symbol:							
03/17/20	50.000	233.60	03/17/20	204.90	...	28.70	Sale <sup>25</sup>
	4 transactions for 03/18/20. Total proceeds and cost reported to the IRS.						
	4.000	19.84	03/17/20	16.32	...	3.52	1 of 4 - Sale <sup>25</sup>
	20.000	99.22	03/17/20	90.17	...	9.05	2 of 4 - Sale <sup>25</sup>
	50.000	248.04	03/17/20	232.31	...	15.73	3 of 4 - Sale <sup>25</sup>
	4.000	19.85	03/18/20	17.36	...	2.49	4 of 4 - Sale <sup>25</sup>
03/18/20	78.000	386.95	Various	356.16	...	30.79	Total of 4 transactions
	<b>Security total:</b>	<b>620.55</b>		<b>561.06</b>	...	<b>59.49</b>	
DRAFTKINGS INC. CLASS A COMMON STOCK / CUSIP: 26142R104 / Symbol:							
12/16/20	0.240	12.99	10/16/20	10.97	...	2.02	Sale <sup>25</sup>
EXELA TECHNOLOGIES, INC. COMMO N STOCK / CUSIP: 30162V102 / Symbol:							
01/21/20	900.000	407.14	01/06/20	346.40	...	60.74	Sale <sup>25</sup>
03/06/20	1,000.000	339.99	02/10/20	359.60	19.61 W	0.00	Sale <sup>25</sup>
	25 transactions for 03/19/20. Total proceeds and cost reported to the IRS.						
	395.000	60.07	03/18/20	66.65	...	-6.58	1 of 25 - Sale <sup>25</sup>
	305.000	46.39	03/18/20	51.45	...	-5.06	2 of 25 - Sale <sup>25</sup>
	40.000	6.09	03/18/20	8.73	...	-2.64	3 of 25 - Sale <sup>25</sup>
	78.000	11.87	03/18/20	13.17	...	-1.30	4 of 25 - Sale <sup>25</sup>
	19.000	2.89	03/18/20	4.15	...	-1.26	5 of 25 - Sale <sup>25</sup>
	20.000	3.05	03/18/20	3.95	...	-0.90	6 of 25 - Sale <sup>25</sup>
	18.000	2.74	03/18/20	3.38	...	-0.64	7 of 25 - Sale <sup>25</sup>
	25.000	3.80	03/18/20	4.21	...	-0.41	8 of 25 - Sale <sup>25</sup>
	27.000	4.11	03/18/20	4.48	...	-0.37	9 of 25 - Sale <sup>25</sup>
	22.000	3.35	03/18/20	3.66	...	-0.31	10 of 25 - Sale <sup>25</sup>
	12.000	1.82	03/18/20	2.13	...	-0.31	11 of 25 - Sale <sup>25</sup>
	4.000	0.61	03/18/20	0.88	...	-0.27	12 of 25 - Sale <sup>25</sup>
	5.000	0.76	03/18/20	0.99	...	-0.23	13 of 25 - Sale <sup>25</sup>
	5.000	0.76	03/18/20	0.99	...	-0.23	14 of 25 - Sale <sup>25</sup>
	8.000	1.22	03/18/20	1.42	...	-0.20	15 of 25 - Sale <sup>25</sup>
	2.000	0.30	03/18/20	0.44	...	-0.14	16 of 25 - Sale <sup>25</sup>
	2.000	0.30	03/18/20	0.43	...	-0.13	17 of 25 - Sale <sup>25</sup>
	2.000	0.30	03/18/20	0.38	...	-0.08	18 of 25 - Sale <sup>25</sup>

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Account 112842083

## Proceeds from Broker and Barter Exchange Transactions

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

(continued)

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	7- Loss not allowed (X) also not reported (Z)	Gain or loss(-) & Additional information
EXELA TECHNOLOGIES, INC. COMMO N STOCK / CUSIP: 30162V102 / Symbol: (cont'd)							
	5.000	0.76	03/18/20	0.84	...	-0.08	19 of 25 - Sale <sup>25</sup>
	1.000	0.15	03/18/20	0.22	...	-0.07	20 of 25 - Sale <sup>25</sup>
	1.000	0.15	03/18/20	0.22	...	-0.07	21 of 25 - Sale <sup>25</sup>
	1.000	0.15	03/18/20	0.22	...	-0.07	22 of 25 - Sale <sup>25</sup>
	1.000	0.15	03/18/20	0.17	...	-0.02	23 of 25 - Sale <sup>25</sup>
	1.000	0.15	03/18/20	0.17	...	-0.02	24 of 25 - Sale <sup>25</sup>
	1.000	0.15	03/18/20	0.17	...	-0.02	25 of 25 - Sale <sup>25</sup>
03/19/20	1,000.000	152.09	Various	173.50	...	-21.41	Total of 25 transactions
	33 transactions for 03/19/20. Total proceeds and cost reported to the IRS.						
	4.000	0.61	03/11/20	0.89	0.28 W	0.00	1 of 33 - Sale <sup>25</sup>
	23.000	3.50	03/11/20	5.09	1.59 W	0.00	2 of 33 - Sale <sup>25</sup>
	1.000	0.15	03/11/20	0.22	0.07 W	0.00	3 of 33 - Sale <sup>25</sup>
	40.000	6.09	03/11/20	8.86	2.77 W	0.00	4 of 33 - Sale <sup>25</sup>
	2.000	0.30	03/11/20	0.44	0.14 W	0.00	5 of 33 - Sale <sup>25</sup>
	30.000	4.56	03/16/20	6.00	1.44 W	0.00	6 of 33 - Sale <sup>25</sup>
	50.000	7.61	03/17/20	8.47	0.86 W	0.00	7 of 33 - Sale <sup>25</sup>
	18.000	2.74	03/17/20	3.43	0.69 W	0.00	8 of 33 - Sale <sup>25</sup>
	2.000	0.30	03/17/20	0.38	0.08 W	0.00	9 of 33 - Sale <sup>25</sup>
	8.000	1.22	03/17/20	1.45	0.23 W	0.00	10 of 33 - Sale <sup>25</sup>
	12.000	1.83	03/17/20	2.17	0.34 W	0.00	11 of 33 - Sale <sup>25</sup>
	4.000	0.61	03/18/20	0.89	0.28 W	0.00	12 of 33 - Sale <sup>25</sup>
	19.000	2.89	03/18/20	4.20	1.31 W	0.00	13 of 33 - Sale <sup>25</sup>
	1.000	0.15	03/18/20	0.22	0.07 W	0.00	14 of 33 - Sale <sup>25</sup>
	1.000	0.15	03/18/20	0.22	0.07 W	0.00	15 of 33 - Sale <sup>25</sup>
	1.000	0.15	03/18/20	0.22	0.07 W	0.00	16 of 33 - Sale <sup>25</sup>
	2.000	0.31	03/18/20	0.44	0.13 W	0.00	17 of 33 - Sale <sup>25</sup>
	2.000	0.30	03/18/20	0.44	0.14 W	0.00	18 of 33 - Sale <sup>25</sup>
	40.000	6.09	03/18/20	8.85	2.76 W	0.00	19 of 33 - Sale <sup>25</sup>
	5.000	0.76	03/18/20	1.00	0.24 W	0.00	20 of 33 - Sale <sup>25</sup>
	20.000	3.04	03/18/20	4.00	0.96 W	0.00	21 of 33 - Sale <sup>25</sup>
	5.000	0.76	03/18/20	1.00	0.24 W	0.00	22 of 33 - Sale <sup>25</sup>
	2.000	0.30	03/18/20	0.38	0.08 W	0.00	23 of 33 - Sale <sup>25</sup>
	8.000	1.22	03/18/20	1.45	0.23 W	0.00	24 of 33 - Sale <sup>25</sup>
	12.000	1.82	03/18/20	2.16	0.34 W	0.00	25 of 33 - Sale <sup>25</sup>

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**Proceeds from Broker and Barter Exchange Transactions**

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

(continued)

02/14/2021

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EXELA TECHNOLOGIES, INC. COMMO N STOCK / CUSIP: 30162V102 / Symbol: (cont'd)							
	18.000	2.74	03/18/20	3.43	0.69 W	0.00	26 of 33 - Sale <sup>25</sup>
	50.000	7.60	03/18/20	8.45	0.85 W	0.00	27 of 33 - Sale <sup>25</sup>
	305.000	46.39	03/18/20	52.31	5.92 W	0.00	28 of 33 - Sale <sup>25</sup>
	400.000	60.83	03/18/20	68.61	7.78 W	0.00	29 of 33 - Sale <sup>25</sup>
	1.000	0.15	03/18/20	0.17	0.02 W	0.00	30 of 33 - Sale <sup>25</sup>
	1.000	0.15	03/18/20	0.17	0.02 W	0.00	31 of 33 - Sale <sup>25</sup>
	25.000	3.81	03/18/20	4.29	0.48 W	0.00	32 of 33 - Sale <sup>25</sup>
	78.000	11.86	03/18/20	13.38	1.52 W	0.00	33 of 33 - Sale <sup>25</sup>
03/19/20	1,190.000	180.99	Various	213.68	32.69 W	0.00	Total of 33 transactions
	<b>Security total:</b>	<b>1,080.21</b>		<b>1,093.18</b>	<b>52.30 W</b>	<b>39.33</b>	
FACEBOOK, INC. CLASS A COMMON STOCK / CUSIP: 30303M102 / Symbol:							
08/27/20	0.400	119.04	06/04/20	90.75	...	28.29	Sale <sup>25</sup>
FISKER INC. / CUSIP: 33813J106 / Symbol:							
2 transactions for 11/16/20. Total proceeds and cost reported to the IRS.							
	1.000	16.92	10/15/20	14.03	...	2.89	1 of 2 - Sale <sup>25</sup>
	4.000	67.68	10/16/20	56.56	...	11.12	2 of 2 - Sale <sup>25</sup>
11/16/20	5.000	84.60	Various	70.59	...	14.01	Total of 2 transactions
11/25/20	5.000	92.80	10/23/20	53.83	...	38.97	Sale <sup>25</sup>
	<b>Security total:</b>	<b>177.40</b>		<b>124.42</b>	...	<b>52.98</b>	
FORUM ENERGY TECHNOLOGIES, INC. / CUSIP: 34984V100 / Symbol:							
3 transactions for 03/26/20. Total proceeds and cost reported to the IRS.							
	50.000	8.85	02/26/20	41.76	...	-32.91	1 of 3 - Sale <sup>25</sup>
	25.000	4.42	03/18/20	4.76	...	-0.34	2 of 3 - Sale <sup>25</sup>
	10.000	1.77	03/24/20	1.82	...	-0.05	3 of 3 - Sale <sup>25</sup>
03/26/20	85.000	15.04	Various	48.34	...	-33.30	Total of 3 transactions
05/07/20	1,000.000	382.98	05/06/20	369.90	...	13.08	Sale <sup>25</sup>
05/26/20	400.000	128.39	05/15/20	148.00	...	-19.61	Sale <sup>25</sup>
05/29/20	100.000	28.99	05/15/20	37.00	...	-8.01	Sale <sup>25</sup>
	<b>Security total:</b>	<b>555.40</b>		<b>603.24</b>	...	<b>-47.84</b>	

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

(continued)

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GOPRO, INC. CLASS A COMMON STO CK / CUSIP: 38268T103 / Symbol:							
12/09/20	1.000	8.29	11/20/20	6.88	...	1.41	Sale <sup>25</sup>
GROUPON, INC. COMMON STOCK / CUSIP: 399473206 / Symbol:							
11/09/20	1.000	24.30	10/16/20	20.18	...	4.12	Sale <sup>25</sup>
11/16/20	0.800	20.17	10/16/20	16.14	...	4.03	Sale <sup>25</sup>
	<b>Security total:</b>	<b>44.47</b>		<b>36.32</b>	...	<b>8.15</b>	
HEXO CORP. / CUSIP: 428304109 / Symbol:							
12/01/20	20.000	23.09	06/08/20	23.40	...	-0.31	Sale <sup>25</sup>
HYLIION HOLDINGS CORP. / CUSIP: 449109107 / Symbol:							
3 transactions for 11/24/20. Total proceeds and cost reported to the IRS.							
	0.200	5.14	10/19/20	5.33	...	-0.19	1 of 3 - Sale <sup>25</sup>
	0.050	1.28	10/19/20	1.33	...	-0.05	2 of 3 - Sale <sup>25</sup>
	2.950	75.73	10/19/20	74.78	...	0.95	3 of 3 - Sale <sup>25</sup>
11/24/20	3.200	82.15	Various	81.44	...	0.71	Total of 3 transactions
INDIVIOR PLC AMERICAN DEPOSIT ARY RECEIPTS - SPONSORED / CUSIP: 45579E105 / Symbol:							
05/20/20	2.000	11.66	05/19/20	11.38	...	0.28	Sale <sup>25</sup>
INOVIO PHARMACEUTICALS, INC. C OMMON STOCK / CUSIP: 45773H201 / Symbol:							
2 transactions for 03/17/20. Total proceeds and cost reported to the IRS.							
	10.000	74.10	03/16/20	55.70	...	18.40	1 of 2 - Sale <sup>25</sup>
	10.000	74.11	03/16/20	55.30	...	18.81	2 of 2 - Sale <sup>25</sup>
03/17/20	20.000	148.21	Various	111.00	...	37.21	Total of 2 transactions
03/17/20	40.000	296.42	03/10/20	368.40	71.98 W	0.00	Sale <sup>25</sup>
7 transactions for 03/24/20. Total proceeds and cost reported to the IRS.							
	25.000	181.04	03/17/20	231.68	...	-50.64	1 of 7 - Sale <sup>25</sup>
	3.000	21.73	03/17/20	27.38	...	-5.65	2 of 7 - Sale <sup>25</sup>
	12.000	86.90	03/18/20	104.39	...	-17.49	3 of 7 - Sale <sup>25</sup>
	8.000	57.93	03/18/20	58.05	...	-0.12	4 of 7 - Sale <sup>25</sup>
	10.000	72.42	03/18/20	69.60	...	2.82	5 of 7 - Sale <sup>25</sup>
	38.000	275.18	03/18/20	262.20	...	12.98	6 of 7 - Sale <sup>25</sup>
	8.000	57.94	03/20/20	53.09	...	4.85	7 of 7 - Sale <sup>25</sup>
03/24/20	104.000	753.14	Various	806.39	...	-53.25	Total of 7 transactions

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

(continued)

02/14/2021

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

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INOVIO PHARMACEUTICALS, INC. C OMMON STOCK / CUSIP: 45773H201 / Symbol: (cont'd)							
05/12/20	5.000	65.42	04/24/20	70.35	...	-4.93	Sale <sup>25</sup>
<b>Security total:</b>		<b>1,263.19</b>		<b>1,356.14</b>	<b>71.98 W</b>	<b>-20.97</b>	
INNOVATE BIOPHARMACEUTICALS, I NC. COMMON STOCK / CUSIP: 45782F105 / Symbol:							
<i>2 transactions for 03/26/20. Total proceeds and cost reported to the IRS.</i>							
	80.000	33.12	02/14/20	61.82	...	-28.70	1 of 2 - Sale <sup>25</sup>
	15.000	6.21	03/10/20	8.10	...	-1.89	2 of 2 - Sale <sup>25</sup>
03/26/20	95.000	39.33	Various	69.92	...	-30.59	Total of 2 transactions
IZEA WORLDWIDE, INC. COMMON ST OCK / CUSIP: 46604H105 / Symbol:							
<i>2 transactions for 12/24/20. Total proceeds and cost reported to the IRS.</i>							
	1.000	1.97	06/12/20	1.83	...	0.14	1 of 2 - Sale <sup>25</sup>
	5.000	9.82	06/25/20	6.20	...	3.62	2 of 2 - Sale <sup>25</sup>
12/24/20	6.000	11.79	Various	8.03	...	3.76	Total of 2 transactions
KANDI TECHNOLOGIES GROUP, INC COMMON STOCK / CUSIP: 483709101 / Symbol:							
12/29/20	24.500	198.45	12/28/20	173.71	...	24.74	Sale <sup>25</sup>
12/29/20	0.500	4.05	12/07/20	4.71	0.66 W	0.00	Sale <sup>25</sup>
<b>Security total:</b>		<b>202.50</b>		<b>178.42</b>	<b>0.66 W</b>	<b>24.74</b>	
LUCKIN COFFEE INC AMERICAN DEP OSITARY SHARES - SPONSORED / CUSIP: 54951L109 / Symbol:							
06/03/20	10.000	24.41	05/27/20	25.49	1.08 W	0.00	Sale <sup>25</sup>
07/07/20	4.000	12.52	06/23/20	11.05	...	1.47	Sale <sup>25</sup>
<i>2 transactions for 07/07/20. Total proceeds and cost reported to the IRS.</i>							
	1.000	3.13	06/16/20	4.20	1.07 W	0.00	1 of 2 - Sale <sup>25</sup>
	5.000	15.65	06/19/20	19.74	4.09 W	0.00	2 of 2 - Sale <sup>25</sup>
07/07/20	6.000	18.78	Various	23.94	5.16 W	0.00	Total of 2 transactions
<i>2 transactions for 07/08/20. Total proceeds and cost reported to the IRS.</i>							
	1.000	3.88	06/26/20	2.50	...	1.38	1 of 2 - Sale <sup>25</sup>
	4.000	15.52	06/26/20	8.99	...	6.53	2 of 2 - Sale <sup>25</sup>
07/08/20	5.000	19.40	Various	11.49	...	7.91	Total of 2 transactions

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Robinhood Securities LLC

Account 112842083

## 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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LUCKIN COFFEE INC AMERICAN DEP OSITARY SHARES - SPONSORED / CUSIP: 54951L109 / Symbol: (cont'd)							
2 transactions for 10/05/20. Total proceeds and cost reported to the IRS.							
	1.000	4.02	06/26/20	2.25	...	1.77	1 of 2 - Sale <sup>25</sup>
	4.000	16.08	06/26/20	5.72	...	10.36	2 of 2 - Sale <sup>25</sup>
10/05/20	5.000	20.10	Various	7.97	...	12.13	Total of 2 transactions
10/07/20	10.000	51.70	06/26/20	14.30	...	37.40	Sale <sup>25</sup>
	<b>Security total:</b>	<b>146.91</b>		<b>94.24</b>	<b>6.24 W</b>	<b>58.91</b>	
MGM RESORTS INTERNATIONAL / CUSIP: 552953101 / Symbol:							
06/03/20	5.000	100.15	05/13/20	63.80	...	36.35	Sale <sup>25</sup>
2 transactions for 11/09/20. Total proceeds and cost reported to the IRS.							
	5.000	127.41	05/13/20	63.80	...	63.61	1 of 2 - Sale <sup>25</sup>
	1.000	25.48	06/05/20	23.00	...	2.48	2 of 2 - Sale <sup>25</sup>
11/09/20	6.000	152.89	Various	86.80	...	66.09	Total of 2 transactions
3 transactions for 11/16/20. Total proceeds and cost reported to the IRS.							
	1.000	26.61	06/05/20	23.00	...	3.61	1 of 3 - Sale <sup>25</sup>
	2.000	53.22	06/11/20	36.00	...	17.22	2 of 3 - Sale <sup>25</sup>
	1.000	26.62	07/07/20	16.22	...	10.40	3 of 3 - Sale <sup>25</sup>
11/16/20	4.000	106.45	Various	75.22	...	31.23	Total of 3 transactions
	<b>Security total:</b>	<b>359.49</b>		<b>225.82</b>	...	<b>133.67</b>	
MICROSOFT CORPORATION COMMON S TOCK / CUSIP: 594918104 / Symbol:							
08/27/20	0.500	113.73	06/04/20	91.85	...	21.88	Sale <sup>25</sup>
MICROVISION, INC. COMMON STOCK / CUSIP: 594960304 / Symbol:							
05/07/20	250.000	240.05	05/06/20	277.48	...	-37.43	Sale <sup>25</sup>
12/23/20	0.900	7.63	06/19/20	1.19	...	6.44	Sale <sup>25</sup>
	<b>Security total:</b>	<b>247.68</b>		<b>278.67</b>	...	<b>-30.99</b>	
MODERNA, INC. COMMON STOCK / CUSIP: 60770K107 / Symbol:							
03/18/20	4.000	123.61	03/17/20	110.36	...	13.25	Sale <sup>25</sup>
4 transactions for 03/25/20. Total proceeds and cost reported to the IRS.							
	1.000	27.10	03/19/20	28.62	...	-1.52	1 of 4 - Sale <sup>25</sup>
	5.000	135.50	03/20/20	140.90	...	-5.40	2 of 4 - Sale <sup>25</sup>
	10.000	270.99	03/23/20	270.00	...	0.99	3 of 4 - Sale <sup>25</sup>

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Robinhood Securities LLC

Account 112842083

**Proceeds from Broker and Barter Exchange Transactions**

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

(continued)

02/14/2021

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

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MODERNA, INC. COMMON STOCK / CUSIP: 60770K107 / Symbol: (cont'd)							
	4.000	108.39	03/24/20	100.66	...	7.73	4 of 4 - Sale <sup>25</sup>
03/25/20	20.000	541.98	Various	540.18	...	1.80	Total of 4 transactions
11/09/20	1.000	78.11	10/09/20	72.48	...	5.63	Sale <sup>25</sup>
11/16/20	1.000	95.41	10/23/20	69.75	...	25.66	Sale <sup>25</sup>
	<b>Security total:</b>	<b>839.11</b>		<b>792.77</b>	...	<b>46.34</b>	
MOTOROLA SOLUTIONS, INC. NEW / CUSIP: 620076307 / Symbol:							
11/09/20	0.500	87.24	05/13/20	65.06	...	22.18	Sale <sup>25</sup>
11/16/20	0.500	86.40	05/13/20	65.06	...	21.34	Sale <sup>25</sup>
	<b>Security total:</b>	<b>173.64</b>		<b>130.12</b>	...	<b>43.52</b>	
NANO DIMENSION LTD. AMERICAN D EPOSITARY SHARES / CUSIP: 63008G203 / Symbol:							
2 transactions for 10/01/20. Total proceeds and cost reported to the IRS.							
	5.000	11.00	07/15/20	8.80	...	2.20	1 of 2 - Sale <sup>25</sup>
	5.000	11.00	07/17/20	11.53	...	-0.53	2 of 2 - Sale <sup>25</sup>
10/01/20	10.000	22.00	Various	20.33	...	1.67	Total of 2 transactions
NIKOLA CORPORATION COMMON STOCK / CUSIP: 654110105 / Symbol:							
06/09/20	1.000	87.00	06/08/20	87.74	...	-0.74	Sale <sup>25</sup>
NORTHERN GENESIS ACQUISITION CORP. / CUSIP: 66516T104 / Symbol:							
12/09/20	4.000	60.50	11/30/20	56.95	...	3.55	Sale <sup>25</sup>
OCCIDENTAL PETROLEUM CORPORATION / CUSIP: 674599105 / Symbol:							
05/01/20	1.000	15.60	04/24/20	14.00	...	1.60	Sale <sup>25</sup>
OPKO HEALTH, INC. COMMON STOCK / CUSIP: 68375N103 / Symbol:							
2 transactions for 03/17/20. Total proceeds and cost reported to the IRS.							
	156.000	264.01	03/09/20	351.00	86.99 W	0.00	1 of 2 - Sale <sup>25</sup>
	44.000	74.47	03/09/20	99.88	25.41 W	0.00	2 of 2 - Sale <sup>25</sup>
03/17/20	200.000	338.48	Various	450.88	112.40 W	0.00	Total of 2 transactions
2 transactions for 03/18/20. Total proceeds and cost reported to the IRS.							
	56.000	85.67	03/18/20	115.73	...	-30.06	1 of 2 - Sale <sup>25</sup>
	44.000	67.32	03/18/20	91.80	...	-24.48	2 of 2 - Sale <sup>25</sup>
03/18/20	100.000	152.99	Various	207.53	...	-54.54	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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OPKO HEALTH, INC. COMMON STOCK / CUSIP: 68375N103 / Symbol: (cont'd)							
03/18/20	100.000	152.99	03/18/20	201.75	15.61 W	-33.15	Sale <sup>25</sup>
	3 transactions for 03/26/20. Total proceeds and cost reported to the IRS.						
	2.000	2.73	03/19/20	3.90	...	-1.17	1 of 3 - Sale <sup>25</sup>
	10.000	13.62	03/23/20	18.98	...	-5.36	2 of 3 - Sale <sup>25</sup>
	20.000	27.25	03/25/20	37.35	...	-10.10	3 of 3 - Sale <sup>25</sup>
03/26/20	32.000	43.60	Various	60.23	...	-16.63	Total of 3 transactions
	3 transactions for 10/06/20. Total proceeds and cost reported to the IRS.						
	2.000	8.52	07/08/20	8.14	...	0.38	1 of 3 - Sale <sup>25</sup>
	5.000	21.31	07/14/20	19.04	...	2.27	2 of 3 - Sale <sup>25</sup>
	3.000	12.79	09/08/20	9.63	...	3.16	3 of 3 - Sale <sup>25</sup>
10/06/20	10.000	42.62	Various	36.81	...	5.81	Total of 3 transactions
10/07/20	5.000	22.51	09/08/20	16.05	...	6.46	Sale <sup>25</sup>
	<b>Security total:</b>	<b>753.19</b>		<b>973.25</b>	<b>128.01 W</b>	<b>-92.05</b>	
PALANTIR TECHNOLOGIES INC. CLA SS A COMMON STOCK / CUSIP: 69608A108 / Symbol:							
11/16/20	1.000	15.89	10/01/20	9.79	...	6.10	Sale <sup>25</sup>
11/27/20	1.000	28.98	10/01/20	9.79	...	19.19	Sale <sup>25</sup>
11/27/20	10.000	289.81	11/27/20	314.87	23.06 W	-2.00	Sale <sup>25</sup>
12/23/20	0.200	5.77	12/03/20	5.47	...	0.30	Sale <sup>25</sup>
12/23/20	4.800	138.58	12/10/20	142.44	3.86 W	0.00	Sale <sup>25</sup>
	<b>Security total:</b>	<b>479.03</b>		<b>482.36</b>	<b>26.92 W</b>	<b>23.59</b>	
PLURISTEM THERAPEUTICS, INC. C OMMON STOCK / CUSIP: 72940R300 / Symbol:							
04/27/20	10.000	119.14	04/22/20	91.59	...	27.55	Sale <sup>25</sup>
04/27/20	10.000	119.13	04/24/20	128.40	9.27 W	0.00	Sale <sup>25</sup>
	2 transactions for 05/05/20. Total proceeds and cost reported to the IRS.						
	5.000	45.80	04/30/20	51.89	...	-6.09	1 of 2 - Sale <sup>25</sup>
	5.000	45.80	04/30/20	49.46	...	-3.66	2 of 2 - Sale <sup>25</sup>
05/05/20	10.000	91.60	Various	101.35	...	-9.75	Total of 2 transactions
	<b>Security total:</b>	<b>329.87</b>		<b>321.34</b>	<b>9.27 W</b>	<b>17.80</b>	
POLYMET MINING CORP. / CUSIP: 731916102 / Symbol:							
06/15/20	490.000	146.01	06/12/20	159.15	1.34 W	-11.80	Sale <sup>25</sup>

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

(continued)

02/14/2021

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PROSHARES ULTRAPRO SHORT QQQ / CUSIP: 74347G408 / Symbol:							
3 transactions for 03/18/20. Total proceeds and cost reported to the IRS.							
	5.000	141.20	03/17/20	125.69	...	15.51	1 of 3 - Sale <sup>25</sup>
	5.000	141.19	03/17/20	125.50	...	15.69	2 of 3 - Sale <sup>25</sup>
	5.000	141.19	03/17/20	123.39	...	17.80	3 of 3 - Sale <sup>25</sup>
03/18/20	15.000	423.58	Various	374.58	...	49.00	Total of 3 transactions
03/18/20	5.000	141.20	03/16/20	149.80	8.60 W	0.00	Sale <sup>25</sup>
4 transactions for 03/23/20. Total proceeds and cost reported to the IRS.							
	5.000	157.50	03/18/20	152.78	...	4.72	1 of 4 - Sale <sup>25</sup>
	5.000	157.50	03/18/20	144.18	...	13.32	2 of 4 - Sale <sup>25</sup>
	1.000	31.50	03/19/20	24.79	...	6.71	3 of 4 - Sale <sup>25</sup>
	4.000	126.00	03/19/20	103.68	...	22.32	4 of 4 - Sale <sup>25</sup>
03/23/20	15.000	472.50	Various	425.43	...	47.07	Total of 4 transactions
03/24/20	40.000	931.97	03/24/20	971.20	39.23 W	0.00	Sale <sup>25</sup>
03/25/20	30.000	692.38	03/25/20	726.62	34.24 W	0.00	Sale <sup>25</sup>
3 transactions for 05/12/20. Total proceeds and cost reported to the IRS.							
	10.000	102.65	03/25/20	241.71	139.06 W	0.00	1 of 3 - Sale <sup>25</sup>
	30.000	307.94	03/25/20	729.94	422.00 W	0.00	2 of 3 - Sale <sup>25</sup>
	10.000	102.64	03/25/20	231.90	129.26 W	0.00	3 of 3 - Sale <sup>25</sup>
05/12/20	50.000	513.23	Various	1,203.55	690.32 W	0.00	Total of 3 transactions
13 transactions for 05/13/20. Total proceeds and cost reported to the IRS.							
	21.000	241.91	05/12/20	411.72	...	-169.81	1 of 13 - Sale <sup>25</sup>
	4.000	46.08	05/12/20	97.64	...	-51.56	2 of 13 - Sale <sup>25</sup>
	4.000	46.08	05/12/20	88.21	...	-42.13	3 of 13 - Sale <sup>25</sup>
	3.000	34.56	05/12/20	54.14	...	-19.58	4 of 13 - Sale <sup>25</sup>
	3.000	34.56	05/12/20	49.09	...	-14.53	5 of 13 - Sale <sup>25</sup>
	14.000	161.27	05/13/20	343.57	...	-182.30	6 of 13 - Sale <sup>25</sup>
	12.000	138.23	05/13/20	292.87	...	-154.64	7 of 13 - Sale <sup>25</sup>
	10.000	115.20	05/13/20	243.80	...	-128.60	8 of 13 - Sale <sup>25</sup>
	10.000	115.20	05/13/20	232.65	...	-117.45	9 of 13 - Sale <sup>25</sup>
	8.000	92.15	05/13/20	181.06	...	-88.91	10 of 13 - Sale <sup>25</sup>
	4.000	46.08	05/13/20	90.83	...	-44.75	11 of 13 - Sale <sup>25</sup>
	3.000	34.56	05/13/20	64.18	...	-29.62	12 of 13 - Sale <sup>25</sup>

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

(continued)

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PROSHARES ULTRAPRO SHORT QQQ / CUSIP: 74347G408 / Symbol: (cont'd)							
	4.000	46.08	05/13/20	43.68	...	2.40	13 of 13 - Sale <sup>25</sup>
05/13/20	100.000	1,151.96	Various	2,193.44	...	-1,041.48	Total of 13 transactions
	14 transactions for 05/13/20. Total proceeds and cost reported to the IRS.						
	12.000	129.48	03/25/20	277.92	148.44 W	0.00	1 of 14 - Sale <sup>25</sup>
	7.000	75.53	03/26/20	153.43	77.90 W	0.00	2 of 14 - Sale <sup>25</sup>
	21.000	226.58	03/30/20	408.87	182.29 W	0.00	3 of 14 - Sale <sup>25</sup>
	3.000	32.37	04/06/20	53.73	21.36 W	0.00	4 of 14 - Sale <sup>25</sup>
	3.000	32.37	04/07/20	48.69	16.32 W	0.00	5 of 14 - Sale <sup>25</sup>
	10.000	107.90	05/07/20	249.06	141.16 W	0.00	6 of 14 - Sale <sup>25</sup>
	14.000	151.05	05/07/20	350.93	199.88 W	0.00	7 of 14 - Sale <sup>25</sup>
	10.000	115.81	05/07/20	239.26	123.45 W	0.00	8 of 14 - Sale <sup>25</sup>
	16.000	185.30	05/07/20	401.07	215.77 W	0.00	9 of 14 - Sale <sup>25</sup>
	4.000	46.33	05/07/20	93.48	47.15 W	0.00	10 of 14 - Sale <sup>25</sup>
	10.000	115.81	05/12/20	250.41	134.60 W	0.00	11 of 14 - Sale <sup>25</sup>
	14.000	162.14	05/12/20	352.83	190.69 W	0.00	12 of 14 - Sale <sup>25</sup>
	8.000	92.65	05/12/20	186.36	93.71 W	0.00	13 of 14 - Sale <sup>25</sup>
	3.000	34.74	05/12/20	66.16	31.42 W	0.00	14 of 14 - Sale <sup>25</sup>
05/13/20	135.000	1,508.06	Various	3,132.20	1,624.14 W	0.00	Total of 14 transactions
	<b>Security total:</b>	<b>5,834.88</b>		<b>9,176.82</b>	<b>2,396.53 W</b>	<b>-945.41</b>	
PROSHARES ULTRA VIX SHORT-TERM FUTURES ETF / CUSIP: 74347W148 / Symbol:							
	3 transactions for 05/12/20. Total proceeds and cost reported to the IRS.						
	2.000	64.91	03/19/20	166.66	...	-101.75	1 of 3 - Sale <sup>25</sup>
	1.000	33.38	03/19/20	83.33	...	-49.95	2 of 3 - Sale <sup>25</sup>
	2.000	66.76	03/23/20	130.58	...	-63.82	3 of 3 - Sale <sup>25</sup>
05/12/20	5.000	165.05	Various	380.57	...	-215.52	Total of 3 transactions
PROSHARES ULTRAPRO QQQ / CUSIP: 74347X831 / Symbol:							
04/15/20	3.000	181.77	04/07/20	166.19	...	15.58	Sale <sup>25</sup>

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Robinhood Securities LLC

Account 112842083

**Proceeds from Broker and Barter Exchange Transactions**

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

(continued)

02/14/2021

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

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
RMG ACQUISITION CORP. CLASS A COMMON STOCK / CUSIP: 749641106 / Symbol:							
2 transactions for 12/08/20. Total proceeds and cost reported to the IRS.							
	2.000	36.36	11/30/20	37.18	0.82 W	0.00	1 of 2 - Sale <sup>25</sup>
	8.000	145.44	11/30/20	151.81	6.37 W	0.00	2 of 2 - Sale <sup>25</sup>
12/08/20	10.000	181.80	Various	188.99	7.19 W	0.00	Total of 2 transactions
12/09/20	7.000	127.41	11/30/20	123.04	...	4.37	Sale <sup>25</sup>
12/09/20	2.000	36.40	11/30/20	38.77	2.37 W	0.00	Sale <sup>25</sup>
12/24/20	0.900	27.90	11/30/20	15.82	...	12.08	Sale <sup>25</sup>
	<b>Security total:</b>	<b>373.51</b>		<b>366.62</b>	<b>9.56 W</b>	<b>16.45</b>	
RAYTHEON TECHNOLOGIES CORPORAT ION / CUSIP: 75513E101 / Symbol:							
11/09/20	0.500	31.82	05/13/20	26.90	...	4.92	Sale <sup>25</sup>
2 transactions for 11/16/20. Total proceeds and cost reported to the IRS.							
	0.500	34.41	05/13/20	26.90	...	7.51	1 of 2 - Sale <sup>25</sup>
	1.000	68.83	05/13/20	53.82	...	15.01	2 of 2 - Sale <sup>25</sup>
11/16/20	1.500	103.24	Various	80.72	...	22.52	Total of 2 transactions
	<b>Security total:</b>	<b>135.06</b>		<b>107.62</b>	<b>...</b>	<b>27.44</b>	
REMARK HOLDINGS, INC. COMMON S TOCK / CUSIP: 75955K102 / Symbol:							
05/07/20	50.000	42.75	05/06/20	45.00	2.25 W	0.00	Sale <sup>25</sup>
3 transactions for 05/12/20. Total proceeds and cost reported to the IRS.							
	50.000	98.50	05/12/20	131.99	...	-33.49	1 of 3 - Sale <sup>25</sup>
	50.000	98.49	05/12/20	126.25	...	-27.76	2 of 3 - Sale <sup>25</sup>
	50.000	96.50	05/12/20	107.00	...	-10.50	3 of 3 - Sale <sup>25</sup>
05/12/20	150.000	293.49	Various	365.24	...	-71.75	Total of 3 transactions
2 transactions for 05/12/20. Total proceeds and cost reported to the IRS.							
	150.000	289.50	05/12/20	357.75	22.75 W	-45.50	1 of 2 - Sale <sup>25</sup>
	50.000	96.50	05/12/20	121.50	25.00 W	0.00	2 of 2 - Sale <sup>25</sup>
05/12/20	200.000	386.00	Various	479.25	47.75 W	-45.50	Total of 2 transactions
5 transactions for 10/23/20. Total proceeds and cost reported to the IRS.							
	30.000	43.50	06/25/20	67.79	...	-24.29	1 of 5 - Sale <sup>25</sup>
	10.000	14.50	07/09/20	17.10	...	-2.60	2 of 5 - Sale <sup>25</sup>
	50.000	72.49	07/13/20	71.99	...	0.50	3 of 5 - Sale <sup>25</sup>
	50.000	72.50	08/27/20	55.75	...	16.75	4 of 5 - Sale <sup>25</sup>

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Robinhood Securities LLC

Account 112842083

Proceeds from Broker and Barter Exchange Transactions

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

(continued)

02/14/2021

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REMARK HOLDINGS, INC. COMMON S TOCK / CUSIP: 75955K102 / Symbol: (cont'd)							
	50.000	72.49	09/08/20	50.25	...	22.24	5 of 5 - Sale <sup>25</sup>
10/23/20	190.000	275.48	Various	262.88	...	12.60	Total of 5 transactions
10/23/20	10.000	14.50	06/19/20	23.35	0.89 W	-7.96	Sale <sup>25</sup>
	<b>Security total:</b>	<b>1,012.22</b>		<b>1,175.72</b>	<b>50.89 W</b>	<b>-112.61</b>	
RETRACTABLE TECHNOLOGIES, INC / CUSIP: 76129W105 / Symbol:							
12/10/20	0.900	10.64	11/30/20	10.31	...	0.33	Sale <sup>25</sup>
SASOL LIMITED / CUSIP: 803866300 / Symbol:							
06/15/20	4.000	32.74	06/12/20	34.28	1.54 W	0.00	Sale <sup>25</sup>
SHIFTPIXY, INC. COMMON STOCK / CUSIP: 82452L203 / Symbol:							
5 transactions for 12/28/20. Total proceeds and cost reported to the IRS.							
	10.000	28.10	10/16/20	25.80	...	2.30	1 of 5 - Sale <sup>25</sup>
	10.000	28.10	10/23/20	23.39	...	4.71	2 of 5 - Sale <sup>25</sup>
	15.000	42.15	10/23/20	35.08	...	7.07	3 of 5 - Sale <sup>25</sup>
	10.000	28.10	10/26/20	22.69	...	5.41	4 of 5 - Sale <sup>25</sup>
	30.000	84.29	10/26/20	67.95	...	16.34	5 of 5 - Sale <sup>25</sup>
12/28/20	75.000	210.74	Various	174.91	...	35.83	Total of 5 transactions
12/28/20	25.000	70.25	09/11/20	100.00	29.75 W	0.00	Sale <sup>25</sup>
	<b>Security total:</b>	<b>280.99</b>		<b>274.91</b>	<b>29.75 W</b>	<b>35.83</b>	
SIMON PROPERTY GROUP, INC. / CUSIP: 828806109 / Symbol:							
05/01/20	3.000	190.06	04/28/20	191.36	0.87 W	-0.43	Sale <sup>25</sup>
06/03/20	1.000	72.85	05/13/20	51.93	...	20.92	Sale <sup>25</sup>
06/09/20	1.000	89.96	05/13/20	51.92	...	38.04	Sale <sup>25</sup>
2 transactions for 09/08/20. Total proceeds and cost reported to the IRS.							
	1.000	70.05	06/08/20	95.77	...	-25.72	1 of 2 - Sale <sup>25</sup>
	1.000	70.05	06/15/20	74.66	...	-4.61	2 of 2 - Sale <sup>25</sup>
09/08/20	2.000	140.10	Various	170.43	...	-30.33	Total of 2 transactions
4 transactions for 10/06/20. Total proceeds and cost reported to the IRS.							
	0.250	17.53	06/19/20	17.08	...	0.45	1 of 4 - Sale <sup>25</sup>
	0.750	52.61	06/19/20	51.26	...	1.35	2 of 4 - Sale <sup>25</sup>
	1.000	70.13	06/22/20	66.60	...	3.53	3 of 4 - Sale <sup>25</sup>

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Robinhood Securities LLC

Account 112842083

**Proceeds from Broker and Barter Exchange Transactions**

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

(continued)

02/14/2021

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SIMON PROPERTY GROUP, INC. / CUSIP: 828806109 / Symbol: (cont'd)							
	0.750	52.60	07/10/20	46.70	...	5.90	4 of 4 - Sale <sup>25</sup>
10/06/20	2.750	192.87	Various	181.64	...	11.23	Total of 4 transactions
	3 transactions for 11/09/20. Total proceeds and cost reported to the IRS.						
	0.250	18.63	07/10/20	15.56	...	3.07	1 of 3 - Sale <sup>25</sup>
	0.500	37.38	10/27/20	31.96	...	5.42	2 of 3 - Sale <sup>25</sup>
	0.750	55.89	10/27/20	47.94	...	7.95	3 of 3 - Sale <sup>25</sup>
11/09/20	1.500	111.90	Various	95.46	...	16.44	Total of 3 transactions
11/16/20	0.500	40.43	10/27/20	31.96	...	8.47	Sale <sup>25</sup>
	<b>Security total:</b>	<b>838.17</b>		<b>774.70</b>	<b>0.87 W</b>	<b>64.34</b>	
SORRENTO THERAPEUTICS, INC. C OMMON STOCK / CUSIP: 83587F202 / Symbol:							
10/13/20	1.000	12.08	06/19/20	4.85	...	7.23	Sale <sup>25</sup>
SUMMIT MIDSTREAM PARTNERS LP / CUSIP: 866142102 / Symbol:							
06/01/20	20.000	24.20	05/29/20	29.60	...	-5.40	Sale <sup>25</sup>
TATA MOTORS LIMITED / CUSIP: 876568502 / Symbol:							
11/09/20	1.000	10.11	07/06/20	7.56	...	2.55	Sale <sup>25</sup>
11/16/20	1.000	10.41	07/06/20	7.56	...	2.85	Sale <sup>25</sup>
	<b>Security total:</b>	<b>20.52</b>		<b>15.12</b>	...	<b>5.40</b>	
TILRAY, INC. CLASS 2 COMMON ST OCK / CUSIP: 88688T100 / Symbol:							
12/01/20	10.000	88.25	11/30/20	86.40	...	1.85	Sale <sup>25</sup>
TWITTER, INC. / CUSIP: 90184L102 / Symbol:							
02/10/20	10.000	365.02	02/05/20	334.09	...	30.93	Sale <sup>25</sup>
UNITED AIRLINES HOLDINGS, INC. COMMON STOCK / CUSIP: 910047109 / Symbol:							
05/01/20	4.000	114.68	04/17/20	116.96	2.28 W	0.00	Sale <sup>25</sup>
	4 transactions for 06/03/20. Total proceeds and cost reported to the IRS.						
	3.000	99.25	05/08/20	72.39	...	26.86	1 of 4 - Sale <sup>25</sup>
	1.000	33.08	05/12/20	23.96	...	9.12	2 of 4 - Sale <sup>25</sup>
	1.000	33.08	05/12/20	23.39	...	9.69	3 of 4 - Sale <sup>25</sup>
	5.000	165.41	05/13/20	104.20	...	61.21	4 of 4 - Sale <sup>25</sup>
06/03/20	10.000	330.82	Various	223.94	...	106.88	Total of 4 transactions

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Account 112842083

**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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UNITED AIRLINES HOLDINGS, INC. COMMON STOCK / CUSIP: 910047109 / Symbol: (cont'd)							
06/05/20	4.000	170.43	05/13/20	83.36	...	87.07	Sale <sup>25</sup>
	2 transactions for 10/06/20. Total proceeds and cost reported to the IRS.						
	1.000	36.74	05/13/20	20.84	...	15.90	1 of 2 - Sale <sup>25</sup>
	4.000	146.98	05/14/20	76.08	...	70.90	2 of 2 - Sale <sup>25</sup>
10/06/20	5.000	183.72	Various	96.92	...	86.80	Total of 2 transactions
	3 transactions for 11/09/20. Total proceeds and cost reported to the IRS.						
	1.000	40.51	05/14/20	19.02	...	21.49	1 of 3 - Sale <sup>25</sup>
	1.000	40.50	06/04/20	38.44	...	2.06	2 of 3 - Sale <sup>25</sup>
	4.000	162.02	06/19/20	147.07	...	14.95	3 of 3 - Sale <sup>25</sup>
11/09/20	6.000	243.03	Various	204.53	...	38.50	Total of 3 transactions
11/09/20	4.000	162.02	06/05/20	182.08	0.50 W	-19.56	Sale <sup>25</sup>
	3 transactions for 11/16/20. Total proceeds and cost reported to the IRS.						
	2.000	82.91	06/26/20	65.83	...	17.08	1 of 3 - Sale <sup>25</sup>
	1.000	41.46	07/10/20	30.73	...	10.73	2 of 3 - Sale <sup>25</sup>
	1.000	41.45	09/24/20	32.41	...	9.04	3 of 3 - Sale <sup>25</sup>
11/16/20	4.000	165.82	Various	128.97	...	36.85	Total of 3 transactions
	<b>Security total:</b>	<b>1,370.52</b>		<b>1,036.76</b>	<b>2.78 W</b>	<b>336.54</b>	
UNITED STATES STEEL CORPORATIO N / CUSIP: 912909108 / Symbol:							
	2 transactions for 12/09/20. Total proceeds and cost reported to the IRS.						
	1.000	18.37	11/25/20	14.18	...	4.19	1 of 2 - Sale <sup>25</sup>
	5.000	91.85	12/01/20	78.75	...	13.10	2 of 2 - Sale <sup>25</sup>
12/09/20	6.000	110.22	Various	92.93	...	17.29	Total of 2 transactions
VBI VACCINES, INC. NEW COMMON STOCK (CANADA) / CUSIP: 91822J103 / Symbol:							
04/27/20	100.000	122.10	04/27/20	124.81	...	-2.71	Sale <sup>25</sup>
10/07/20	1.000	3.06	06/22/20	2.90	...	0.16	Sale <sup>25</sup>
	<b>Security total:</b>	<b>125.16</b>		<b>127.71</b>	...	<b>-2.55</b>	

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**Proceeds from Broker and Barter Exchange Transactions**

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

(continued)

02/14/2021

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WHITING PETROLEUM CORP SERIES A WARRANT EXP 09/01/2024 / CUSIP: 966387110 / Symbol:							
2 transactions for 09/08/20. Total proceeds and cost reported to the IRS.							
	0.476	2.10	06/26/20	0.00	...	2.10	1 of 2 - Sale <sup>25</sup>
	0.524	2.30	07/14/20	0.00	...	2.30	2 of 2 - Sale <sup>25</sup>
09/08/20	1.000	4.40	Various	0.00	...	4.40	Total of 2 transactions
WHITING PETROLEUM CORPORATION / CUSIP: 966387409 / Symbol:							
04/29/20	100.000	126.99	04/27/20	102.99	...	24.00	Sale <sup>25</sup>
WORKHORSE GROUP, INC. COMMON S TOCK / CUSIP: 98138J206 / Symbol:							
12/23/20	1.000	22.82	10/13/20	23.51	...	-0.69	Sale <sup>25</sup>
12/24/20	0.900	21.84	10/13/20	21.16	...	0.68	Sale <sup>25</sup>
	<b>Security total:</b>	<b>44.66</b>		<b>44.67</b>	...	<b>-0.01</b>	
X FINANCIAL AMERICAN DEPOSITARY SHARES, EACH REPRESENTING TW O CLASS A ORDINARY SHARES / CUSIP: 98372W103 / Symbol:							
02/26/20	50.000	64.25	02/10/20	64.41	...	-0.16	Sale <sup>25</sup>
XPO LOGISTICS, INC. / CUSIP: 983793100 / Symbol:							
11/09/20	0.750	75.42	05/13/20	47.51	...	27.91	Sale <sup>25</sup>
11/16/20	0.250	26.97	05/13/20	15.83	...	11.14	Sale <sup>25</sup>
	<b>Security total:</b>	<b>102.39</b>		<b>63.34</b>	...	<b>39.05</b>	
XPRESSPA GROUP, INC. COMMON STOCK / CUSIP: 98420U604 / Symbol:							
05/27/20	100.000	86.49	05/26/20	96.48	...	-9.99	Sale <sup>25</sup>
XPRESSPA GROUP, INC. COMMON STOCK / CUSIP: 98420U703 / Symbol:							
06/15/20	4.000	20.79	06/12/20	21.60	0.81 W	0.00	Sale <sup>25</sup>
MEIRAGTX HOLDINGS PLC ORDINARY SHARES / CUSIP: G59665102 / Symbol:							
12/09/20	5.000	64.25	11/20/20	64.31	0.06 W	0.00	Sale <sup>25</sup>
NABORS INDUSTRIES LTD. / CUSIP: G6359F137 / Symbol:							
3 transactions for 08/10/20. Total proceeds and cost reported to the IRS.							
	1.000	52.92	06/15/20	53.00	...	-0.08	1 of 3 - Sale <sup>25</sup>
	0.009	0.49	06/15/20	0.48	...	0.01	2 of 3 - Sale <sup>25</sup>
	0.184	9.71	06/15/20	9.52	...	0.19	3 of 3 - Sale <sup>25</sup>
08/10/20	1.193	63.12	Various	63.00	...	0.12	Total of 3 transactions

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

(continued)

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NEWBORN ACQUISITION CORP. ORDINARY SHARES / CUSIP: G6463T106 / Symbol:							
12/23/20	0.900	17.97	11/25/20	15.57	...	2.40	Sale <sup>25</sup>
NORDIC AMERICAN TANKER / CUSIP: G65773106 / Symbol:							
05/05/20	6.000	32.83	04/29/20	38.15	...	-5.32	Sale <sup>25</sup>
	2 transactions for 06/09/20. Total proceeds and cost reported to the IRS.						
	10.000	50.52	06/08/20	52.29	...	-1.77	1 of 2 - Sale <sup>25</sup>
	10.000	50.51	06/08/20	49.40	...	1.11	2 of 2 - Sale <sup>25</sup>
06/09/20	20.000	101.03	Various	101.69	...	-0.66	Total of 2 transactions
	<b>Security total:</b>	<b>133.86</b>		<b>139.84</b>	...	<b>-5.98</b>	
NORWEGIAN CRUISE LINE HOLDINGS LTD. ORDINARY SHARES / CUSIP: G66721104 / Symbol:							
06/19/20	9.000	161.64	06/19/20	164.78	...	-3.14	Sale <sup>25</sup>
06/19/20	1.000	17.96	06/12/20	20.32	2.36 W	0.00	Sale <sup>25</sup>
11/09/20	0.750	15.79	06/19/20	15.50	...	0.29	Sale <sup>25</sup>
11/16/20	0.200	4.34	06/19/20	4.14	...	0.20	Sale <sup>25</sup>
	<b>Security total:</b>	<b>199.73</b>		<b>204.74</b>	<b>2.36 W</b>	<b>-2.65</b>	
VALARIS PLC ORDINARY SHARES / CUSIP: G9402V109 / Symbol:							
10/23/20	1.000	0.08	06/16/20	1.09	...	-1.01	Sale <sup>25</sup>
SEANERGY MARITIME HOLDINGS CORP COMMON STOCK / CUSIP: Y73760301 / Symbol:							
06/09/20	100.000	19.58	06/08/20	20.10	0.52 W	0.00	Sale <sup>25</sup>
	2 transactions for 06/16/20. Total proceeds and cost reported to the IRS.						
	895.000	151.06	06/12/20	157.34	...	-6.28	1 of 2 - Sale <sup>25</sup>
	100.000	16.88	06/12/20	18.10	...	-1.22	2 of 2 - Sale <sup>25</sup>
06/16/20	995.000	167.94	Various	175.44	...	-7.50	Total of 2 transactions
06/25/20	4.000	0.75	06/12/20	0.70	...	0.05	Sale <sup>25</sup>
	<b>Security total:</b>	<b>188.27</b>		<b>196.24</b>	<b>0.52 W</b>	<b>-7.45</b>	
<b>Totals :</b>		<b>24,823.92</b>		<b>27,560.14</b>	<b>2,890.52 W</b>	<b>154.30</b>	

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

Robinhood Securities LLC

Account 112842083

## Proceeds Not Reported to the IRS

2020

02/14/2021

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

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

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

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

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

**Description of property**

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
BIOCEPT, INC. COMMON STOCK / CUSIP: 09072V501 / Symbol:							
09/14/20	0.100	0.46	06/08/20	0.56	...	-0.10	Gain or loss
DIREXION DAILY GOLD MINERS IND EX BEAR 2X SHARES / CUSIP: 25460G880 / Symbol:							
2 transactions for 05/04/20							
	0.400	13.08	03/24/20	32.29	...	-19.21	Gain or loss
	0.080	2.62	03/24/20	5.18	...	-2.56	Gain or loss
05/04/20	0.480	15.70	Various	37.47	...	-21.77	Total of 2 transactions
WHITING PETROLEUM CORP SERIES A WARRANT EXP 09/01/2024 / CUSIP: 966387110 / Symbol:							
2 transactions for 09/14/20							
	0.262	1.19	06/12/20	0.00	...	1.19	Gain or loss
	0.048	0.22	06/26/20	0.00	...	0.22	Gain or loss
09/14/20	0.309	1.41	Various	0.00	...	1.41	Total of 2 transactions
WHITING PETROLEUM CORP SERIES B WARRANT EXP 09/01/2024 / CUSIP: 966387128 / Symbol:							
3 transactions for 09/14/20							
	0.131	0.59	06/12/20	0.00	...	0.59	Gain or loss
	0.262	1.18	06/26/20	0.00	...	1.18	Gain or loss

Robinhood Securities LLC

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## Proceeds Not Reported to the IRS

2020

(continued)

02/14/2021

**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
WHITING PETROLEUM CORP SERIES B WARRANT EXP 09/01/2024 / CUSIP: 966387128 / Symbol: (cont'd)							
	0.262	1.19	07/14/20	0.00	...	1.19	Gain or loss
09/14/20	0.655	2.96	Various	0.00	...	2.96	Total of 3 transactions
WHITING PETROLEUM CORPORATION / CUSIP: 966387508 / Symbol:							
3 transactions for 09/14/20							
	0.067	1.87	06/12/20	8.75	...	-6.88	Gain or loss
	0.134	3.74	06/26/20	12.58	...	-8.84	Gain or loss
	0.134	3.73	07/14/20	10.10	...	-6.37	Gain or loss
09/14/20	0.334	9.34	Various	31.43	...	-22.09	Total of 3 transactions
SEANERGY MARITIME HOLDINGS COR P COMMON STOCK / CUSIP: Y73760194 / Symbol:							
07/07/20	0.063	0.13	06/12/20	0.18	...	-0.05	Gain or loss
	<b>Totals:</b>	<b>30.00</b>		<b>69.64</b>	...	<b>-39.64</b>	

Robinhood Securities LLC

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## 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
BP P.L.C.	055622104		09/25/20	0.32	Qualified dividend	
			12/18/20	1.58	Qualified dividend	
				<b>1.90</b>	<b>Total Dividends &amp; distributions</b>	
DIREXION DAILY SMALL CAP BULL 3X SHARES	25459W847		06/30/20	0.05	Nondividend distribution	03
DIREXION DAILY JUNIOR GOLD MIN ERS INDEX BULL 2X SHARES	25460E166		03/31/20	0.62	Qualified dividend	03
			03/31/20	0.15	Nondividend distribution	03
				<b>0.77</b>	<b>Total Dividends &amp; distributions</b>	
MGM RESORTS INTERNATIONAL	552953101		06/15/20	0.02	Qualified dividend	
			09/15/20	0.03	Qualified dividend	
				<b>0.05</b>	<b>Total Dividends &amp; distributions</b>	
MICROSOFT CORPORATION COMMON STOCK	594918104		09/10/20	0.28	Qualified dividend	
			12/10/20	0.58	Qualified dividend	
				<b>0.86</b>	<b>Total Dividends &amp; distributions</b>	
MOTOROLA SOLUTIONS, INC. NEW	620076307		07/15/20	0.64	Qualified dividend	
			10/15/20	0.64	Qualified dividend	
				<b>1.28</b>	<b>Total Dividends &amp; distributions</b>	
RAYTHEON TECHNOLOGIES CORPORATION	75513E101		06/18/20	0.95	Qualified dividend	
			09/10/20	0.95	Qualified dividend	
			12/17/20	0.71	Qualified dividend	
	<b>2.61</b>	<b>Total Dividends &amp; distributions</b>				
SIMON PROPERTY GROUP, INC.	828806109		07/24/20	4.67	Section 199A dividend	03
			07/24/20	0.40	Qualified dividend	03
			07/24/20	0.12	Long-term capital gain	03
			07/24/20	0.01	Unrecaptured section 1250 gain	03
			10/23/20	0.29	Section 199A dividend	03
			10/23/20	0.03	Qualified dividend	03

Robinhood Securities LLC

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## Detail for Dividends and Distributions

2020

(continued)

02/14/2021

Security description	CUSIP and/or symbol	State	Date	Amount	Transaction type	Notes
SIMON PROPERTY GROUP, INC. (cont'd)			10/23/20	0.01	Long-term capital gain	03
			01/22/21	0.12	Section 199A dividend	03
			01/22/21	0.01	Qualified dividend	03
				<b>5.66</b>	<b>Total Dividends &amp; distributions</b>	
TYSON FOODS, INC.	902494103		06/15/20	1.26	Qualified dividend	
			09/15/20	1.26	Qualified dividend	
			12/15/20	1.34	Qualified dividend	
				<b>3.86</b>	<b>Total Dividends &amp; distributions</b>	
				<b>17.04</b>	<b>Total Dividends &amp; distributions</b>	

Robinhood Securities LLC

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**Foreign Income and Taxes Summary**

2020

02/14/2021

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

Country	Security Description	CUSIP	Nonqualified	Dividends		Interest	Total Income	Tax
				Qualified				
UK	BP P.L.C.	055622104	0.00	1.90		0.00	1.90	0.00
<b>Total UNITED KINGDOM</b>			<b>0.00</b>	<b>1.90</b>		<b>0.00</b>	<b>1.90</b>	<b>0.00</b>
<b>Grand Total</b>	<b>Total Foreign Source Income*</b>			<b>1.90</b>				
	<b>Qualified Foreign Source Income**</b>			<b>1.90</b>				
	<b>Foreign Tax</b>			<b>0.00</b>				

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

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

Robinhood Securities LLC

Account 112842083

## Non-Reportable Actions

2020

02/14/2021

Security Description	CUSIP and/or symbol	Date	Quantity	Amount	Transaction type	Notes
FIKER INC.	33813J106	10/30/20	10.00	0.00	Exchange	
RMG ACQUISITION CORP. CLASS A COMMON STOCK	749641106	12/30/20	-1.10	0.00	Exchange	
ROMEO POWER, INC.	776153108	12/30/20	1.10	0.00	Exchange	
SPARTAN ENERGY ACQUISITION COR P.	846784106	10/30/20	-10.00	0.00	Exchange	
WHITING PETROLEUM CORP SERIES A WARRANT EXP 09/01/2024	966387110	09/02/20	1.00	0.00	Merger	
WHITING PETROLEUM CORPORATION	966387409	09/02/20	-25.00	0.00	Merger	

- 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](http://www.irs.gov/Form1099DIV).

**1099-B Instructions for Recipient**

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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