

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 134530229	Statement Date: 02/14/2021 Document ID: 5718 VX1 C390	2020
	Saikiran Nirnemula 2301 Sunny Slope Rd Bridgewater, NJ 08807 RECIPIENT'S TIN: XXX-XX-2686		

[] FATCA filing requirement (see instructions)		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)	0.00		2- Royalties	0.00	
1b- Qualified dividends	0.00		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	0.00	
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	0.00		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	0.00		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)	19,554.90	28,875.82	0.00	2,893.06	-6,427.86
Short	B (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Short	C (Form 1099-B not received)	4.76	11.06	0.00	0.00	-6.30
	Total Short-term	19,559.66	28,886.88	0.00	2,893.06	-6,434.16
Long	D (basis reported to the IRS)	24.00	14.05	0.00	0.00	9.95
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)	8.93	5.49	0.00	0.00	3.44
	Total Long-term	32.93	19.54	0.00	0.00	13.39
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	19,592.59	28,906.42	0.00	2,893.06	-6,420.77
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 134530229

Summary Information

2020

(continued)

02/14/2021

INTEREST INCOME

2020 1099-INT

OMB No. 1545-0112

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

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

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

STATE TAX WITHHELD

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

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

ORIGINAL ISSUE DISCOUNT AND ADJUSTMENTS

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

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

RECONCILIATIONS, FEES, EXPENSES AND EXPENDITURES

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

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

Robinhood Securities LLC

Account 134530229

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
BA 07/17/2020 CALL \$300.00 / CUSIP: / Symbol:							
3 transactions for 06/18/20. Total proceeds and cost reported to the IRS.							
	1.000	158.99	06/17/20	144.00	...	14.99	1 of 3 - Option sale to close-call ²⁵
	1.000	158.99	06/17/20	124.00	...	34.99	2 of 3 - Option sale to close-call ²⁵
	4.000	635.98	06/17/20	576.00	...	59.98	3 of 3 - Option sale to close-call ²⁵
06/18/20	6.000	953.96	Various	844.00	...	109.96	Total of 3 transactions
8 transactions for 06/24/20. Total proceeds and cost reported to the IRS.							
	1.000	37.00	06/19/20	212.00	...	-175.00	1 of 8 - Option sale to close-call ²⁵
	2.000	73.99	06/19/20	146.00	...	-72.01	2 of 8 - Option sale to close-call ²⁵
	2.000	73.98	06/22/20	542.02	...	-468.04	3 of 8 - Option sale to close-call ²⁵
	1.000	36.99	06/22/20	311.04	...	-274.05	4 of 8 - Option sale to close-call ²⁵
	1.000	36.98	06/22/20	259.01	...	-222.03	5 of 8 - Option sale to close-call ²⁵
	1.000	36.99	06/22/20	184.00	...	-147.01	6 of 8 - Option sale to close-call ²⁵
	5.000	184.98	06/22/20	280.00	...	-95.02	7 of 8 - Option sale to close-call ²⁵

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Robinhood Securities LLC

Account 134530229

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
BA 07/17/2020 CALL \$300.00 / CUSIP: / Symbol: (cont'd)							
06/24/20	2.000	73.99	06/22/20	112.00	...	-38.01	8 of 8 - Option sale to close-call ²⁵
	15.000	554.90	Various	2,046.07	...	-1,491.17	Total of 8 transactions
	11 transactions for 06/24/20. Total proceeds and cost reported to the IRS.						
	1.000	36.98	06/17/20	124.00	87.02 W	0.00	1 of 11 - Option sale to close-call ²⁵
	4.000	147.99	06/17/20	496.00	348.01 W	0.00	2 of 11 - Option sale to close-call ²⁵
	1.000	36.99	06/18/20	200.02	163.03 W	0.00	3 of 11 - Option sale to close-call ²⁵
	1.000	37.00	06/18/20	113.00	76.00 W	0.00	4 of 11 - Option sale to close-call ²⁵
	3.000	110.99	06/18/20	600.01	489.02 W	0.00	5 of 11 - Option sale to close-call ²⁵
	1.000	36.99	06/19/20	252.03	215.04 W	0.00	6 of 11 - Option sale to close-call ²⁵
	1.000	37.00	06/19/20	176.00	139.00 W	0.00	7 of 11 - Option sale to close-call ²⁵
	2.000	73.99	06/19/20	504.01	430.02 W	0.00	8 of 11 - Option sale to close-call ²⁵
	1.000	37.00	06/19/20	165.00	128.00 W	0.00	9 of 11 - Option sale to close-call ²⁵
	1.000	37.00	06/19/20	288.04	251.04 W	0.00	10 of 11 - Option sale to close-call ²⁵
	1.000	37.00	06/19/20	236.01	199.01 W	0.00	11 of 11 - Option sale to close-call ²⁵
06/24/20	17.000	628.93	Various	3,154.12	2,525.19 W	0.00	Total of 11 transactions
	Security total:	2,137.79		6,044.19	2,525.19 W	-1,381.21	
BYND 08/21/2020 CALL \$160.00 / CUSIP: / Symbol:							
	7 transactions for 08/21/20. Total proceeds and cost reported to the IRS.						
	1.000	0.00	08/04/20	480.00	...	-480.00	1 of 7 - Option expiration- long call
	1.000	0.00	08/05/20	155.00	...	-155.00	2 of 7 - Option expiration- long call
	1.000	0.00	08/05/20	154.00	...	-154.00	3 of 7 - Option expiration- long call
	1.000	0.00	08/06/20	92.00	...	-92.00	4 of 7 - Option expiration- long call

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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
BYND 08/21/2020 CALL \$160.00 / CUSIP: / Symbol: (cont'd)							
	3.000	0.00	08/12/20	45.00	...	-45.00	5 of 7 - Option expiration- long call
	1.000	0.00	08/12/20	15.00	...	-15.00	6 of 7 - Option expiration- long call
	1.000	0.00	08/12/20	15.00	...	-15.00	7 of 7 - Option expiration- long call
08/21/20	9.000	0.00	Various	956.00	...	-956.00	Total of 7 transactions
DVAX 10/16/2020 CALL \$6.00 / CUSIP: / Symbol:							
06/16/20	1.000	194.98	06/05/20	175.00	...	19.98	Option sale to close-call ²⁵
ET 06/26/2020 CALL \$8.50 / CUSIP: / Symbol:							
06/04/20	3.000	188.98	05/21/20	147.00	...	41.98	Option sale to close-call ²⁵
GE 01/15/2021 CALL \$8.00 / CUSIP: / Symbol:							
06/05/20	3.000	452.97	05/28/20	234.00	...	218.97	Option sale to close-call ²⁵
GE 12/18/2020 CALL \$9.00 / CUSIP: / Symbol:							
2 transactions for 06/16/20. Total proceeds and cost reported to the IRS.							
	1.000	79.99	06/11/20	62.00	...	17.99	1 of 2 - Option sale to close-call ²⁵
	2.000	159.99	06/11/20	122.00	...	37.99	2 of 2 - Option sale to close-call ²⁵
06/16/20	3.000	239.98	Various	184.00	...	55.98	Total of 2 transactions
GNUS 10/16/2020 CALL \$4.00 / CUSIP: / Symbol:							
2 transactions for 06/18/20. Total proceeds and cost reported to the IRS.							
	1.000	90.00	06/16/20	140.00	50.00 W	0.00	1 of 2 - Option sale to close-call ²⁵
	4.000	359.98	06/16/20	560.00	200.02 W	0.00	2 of 2 - Option sale to close-call ²⁵
06/18/20	5.000	449.98	Various	700.00	250.02 W	0.00	Total of 2 transactions
3 transactions for 06/19/20. Total proceeds and cost reported to the IRS.							
	3.000	239.98	06/17/20	429.01	...	-189.03	1 of 3 - Option sale to close-call ²⁵
	1.000	79.99	06/17/20	143.01	...	-63.02	2 of 3 - Option sale to close-call ²⁵
	1.000	79.99	06/17/20	143.00	...	-63.01	3 of 3 - Option sale to close-call ²⁵
06/19/20	5.000	399.96	Various	715.02	...	-315.06	Total of 3 transactions
	Security total:	849.94		1,415.02	250.02 W	-315.06	

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Account 134530229

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
INTC 06/19/2020 CALL \$70.00 / CUSIP: / Symbol:							
06/09/20	1.000	9.98	05/27/20	25.01	...	-15.03	Option sale to close-call ²⁵
06/09/20	2.000	19.98	05/27/20	34.00	7.01 W	-7.01	Option sale to close-call ²⁵
	Security total:	29.96		59.01	7.01 W	-22.04	
TSLA 09/25/2020 CALL \$520.00 / CUSIP: / Symbol:							
09/25/20	1.000	0.00	09/18/20	1,650.00	...	-1,650.00	Option expiration- long call
WORK 12/18/2020 CALL \$35.00 / CUSIP: / Symbol:							
2 transactions for 06/11/20. Total proceeds and cost reported to the IRS.							
	1.000	539.98	06/05/20	490.00	...	49.98	1 of 2 - Option sale to close-call ²⁵
	1.000	539.98	06/08/20	490.00	...	49.98	2 of 2 - Option sale to close-call ²⁵
06/11/20	2.000	1,079.96	Various	980.00	...	99.96	Total of 2 transactions
XLF 11/20/2020 CALL \$28.00 / CUSIP: / Symbol:							
06/18/20	1.000	69.98	06/05/20	129.00	...	-59.02	Option sale to close-call ²⁵
ABRAXAS PETROLEUM CORPORATION COMMON STOCK / CUSIP: 003830106 / Symbol:							
2 transactions for 06/08/20. Total proceeds and cost reported to the IRS.							
	100.000	42.03	05/11/20	22.10	...	19.93	1 of 2 - Sale ²⁵
	275.000	115.58	05/11/20	60.77	...	54.81	2 of 2 - Sale ²⁵
06/08/20	375.000	157.61	Various	82.87	...	74.74	Total of 2 transactions
06/16/20	507.000	155.34	05/11/20	112.05	...	43.29	Sale ²⁵
5 transactions for 09/21/20. Total proceeds and cost reported to the IRS.							
	1,000.000	160.18	07/02/20	226.70	...	-66.52	1 of 5 - Sale ²⁵
	300.000	48.06	09/14/20	91.93	...	-43.87	2 of 5 - Sale ²⁵
	341.000	54.62	09/14/20	50.60	...	4.02	3 of 5 - Sale ²⁵
	16.000	2.56	09/18/20	5.21	...	-2.65	4 of 5 - Sale ²⁵
	11.000	1.76	09/18/20	1.85	...	-0.09	5 of 5 - Sale ²⁵
09/21/20	1,668.000	267.18	Various	376.29	...	-109.11	Total of 5 transactions
2 transactions for 09/21/20. Total proceeds and cost reported to the IRS.							
	148.000	23.71	06/16/20	47.09	2.53 W	-20.85	1 of 2 - Sale ²⁵
	300.000	48.05	06/16/20	95.46	47.41 W	0.00	2 of 2 - Sale ²⁵
09/21/20	448.000	71.76	Various	142.55	49.94 W	-20.85	Total of 2 transactions
	Security total:	651.89		713.76	49.94 W	-11.93	

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Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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

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ACASTI PHARMA, INC. CLASS A CO MMON STOCK / CUSIP: 00430K402 / Symbol:							
3 transactions for 09/18/20. Total proceeds and cost reported to the IRS.							
	342.000	72.29	07/17/20	237.59	...	-165.30	1 of 3 - Sale ²⁵
	17.000	3.59	07/17/20	11.81	...	-8.22	2 of 3 - Sale ²⁵
	342.000	72.30	09/02/20	77.91	...	-5.61	3 of 3 - Sale ²⁵
09/18/20	701.000	148.18	Various	327.31	...	-179.13	Total of 3 transactions
AZUL S.A. AMERICAN DEPOSITARY SHARES (EACH REPRESENTING THRE E PREFERRED SHARES) / CUSIP: 05501U106 / Symbol:							
05/27/20	101.000	824.14	05/04/20	815.06	...	9.08	Sale ²⁵
3 transactions for 06/09/20. Total proceeds and cost reported to the IRS.							
	0.399	6.49	06/04/20	4.45	...	2.04	1 of 3 - Sale ²⁵
	2.346	39.13	06/04/20	26.16	...	12.97	2 of 3 - Sale ²⁵
	54.654	911.64	06/04/20	609.39	...	302.25	3 of 3 - Sale ²⁵
06/09/20	57.399	957.26	Various	640.00	...	317.26	Total of 3 transactions
3 transactions for 06/17/20. Total proceeds and cost reported to the IRS.							
	58.000	740.63	06/17/20	741.82	...	-1.19	1 of 3 - Sale ²⁵
	2.870	36.66	06/17/20	36.71	...	-0.05	2 of 3 - Sale ²⁵
	0.271	3.46	06/17/20	3.47	...	-0.01	3 of 3 - Sale ²⁵
06/17/20	61.141	780.75	Various	782.00	...	-1.25	Total of 3 transactions
	Security total:	2,562.15		2,237.06	...	325.09	
BIOLASE, INC. COMMON STOCK / CUSIP: 090911207 / Symbol:							
2 transactions for 09/18/20. Total proceeds and cost reported to the IRS.							
	481.000	149.01	07/21/20	238.00	...	-88.99	1 of 2 - Sale ²⁵
	23.000	7.12	07/21/20	11.38	...	-4.26	2 of 2 - Sale ²⁵
09/18/20	504.000	156.13	Various	249.38	...	-93.25	Total of 2 transactions
CINEDIGM CORP., CLASS A COMMON STOCK / CUSIP: 172406209 / Symbol:							
6 transactions for 06/03/20. Total proceeds and cost reported to the IRS.							
	0.076	0.10	05/21/20	0.08	...	0.02	1 of 6 - Sale ²⁵
	5.119	6.81	05/21/20	5.56	...	1.25	2 of 6 - Sale ²⁵
	86.881	115.54	05/21/20	94.36	...	21.18	3 of 6 - Sale ²⁵
	100.000	132.98	05/29/20	97.41	...	35.57	4 of 6 - Sale ²⁵
	100.000	132.98	05/29/20	87.72	...	45.26	5 of 6 - Sale ²⁵

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Robinhood Securities LLC

Account 134530229

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
CINEDIGM CORP., CLASS A COMMON STOCK / CUSIP: 172406209 / Symbol: (cont'd)							
	100.000	132.98	06/01/20	78.99	...	53.99	6 of 6 - Sale ²⁵
06/03/20	392.076	521.39	Various	364.12	...	157.27	Total of 6 transactions
DIREXION DAILY S&P OIL & GAS E XP. & PROD. BULL 2X SHARES / CUSIP: 25460G500 / Symbol:							
2 transactions for 06/15/20. Total proceeds and cost reported to the IRS.							
	1.090	47.09	06/12/20	50.50	...	-3.41	1 of 2 - Sale ²⁵
	1.024	44.25	06/12/20	47.61	...	-3.36	2 of 2 - Sale ²⁵
06/15/20	2.114	91.34	Various	98.11	...	-6.77	Total of 2 transactions
3 transactions for 06/15/20. Total proceeds and cost reported to the IRS.							
	26.886	1,161.43	06/12/20	1,205.46	36.04 W	-7.99	1 of 3 - Sale ²⁵
	1.090	47.24	06/12/20	48.87	1.63 W	0.00	2 of 3 - Sale ²⁵
	13.000	561.58	06/12/20	582.87	21.29 W	0.00	3 of 3 - Sale ²⁵
06/15/20	40.976	1,770.25	Various	1,837.20	58.96 W	-7.99	Total of 3 transactions
2 transactions for 09/18/20. Total proceeds and cost reported to the IRS.							
	22.009	593.36	06/25/20	802.17	...	-208.81	1 of 2 - Sale ²⁵
	11.976	322.87	06/25/20	436.48	...	-113.61	2 of 2 - Sale ²⁵
09/18/20	33.984	916.23	Various	1,238.65	...	-322.42	Total of 2 transactions
	Security total:	2,777.82		3,173.96	58.96 W	-337.18	
DYNVAX TECHNOLOGIES CORPORATI ON COMMON STOCK / CUSIP: 268158201 / Symbol:							
3 transactions for 05/29/20. Total proceeds and cost reported to the IRS.							
	48.647	291.91	05/19/20	303.56	...	-11.65	1 of 3 - Sale ²⁵
	2.070	12.43	05/19/20	12.92	...	-0.49	2 of 3 - Sale ²⁵
	0.282	1.69	05/19/20	1.83	...	-0.14	3 of 3 - Sale ²⁵
05/29/20	51.000	306.03	Various	318.31	...	-12.28	Total of 3 transactions
05/29/20	0.282	1.69	05/19/20	1.76	0.07 W	0.00	Sale ²⁵
	Security total:	307.72		320.07	0.07 W	-12.28	
ENABLE MIDSTREAM PARTNERS, LP / CUSIP: 292480100 / Symbol:							
03/11/20	50.000	216.00	03/10/20	230.41	...	-14.41	Sale ²⁵

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Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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

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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
GNC HLDGS INC COMMON STOCK / CUSIP: 36191G107 / Symbol:							
<i>10 transactions for 07/02/20. Total proceeds and cost reported to the IRS.</i>							
	247.934	87.99	06/09/20	287.58	...	-199.59	1 of 10 - Sale ²⁵
	10.708	3.80	06/09/20	12.42	...	-8.62	2 of 10 - Sale ²⁵
	200.000	70.97	06/10/20	188.78	...	-117.81	3 of 10 - Sale ²⁵
	58.000	20.58	06/10/20	56.21	...	-35.63	4 of 10 - Sale ²⁵
	100.000	35.49	06/11/20	89.00	...	-53.51	5 of 10 - Sale ²⁵
	7.000	2.48	06/11/20	6.23	...	-3.75	6 of 10 - Sale ²⁵
	5.348	1.90	06/11/20	4.76	...	-2.86	7 of 10 - Sale ²⁵
	0.009	0.00	06/11/20	0.01	...	-0.01	8 of 10 - Zero proceeds / negative sale ²⁵
	344.759	122.35	06/24/20	199.89	...	-77.54	9 of 10 - Sale ²⁵
	0.185	0.07	06/24/20	0.11	...	-0.04	10 of 10 - Sale ²⁵
07/02/20	973.942	345.63	Various	844.99	...	-499.36	Total of 10 transactions
HERTZ GLOBAL HOLDINGS, INC. CO MMON STOCK / CUSIP: 42806J106 / Symbol:							
<i>4 transactions for 06/15/20. Total proceeds and cost reported to the IRS.</i>							
	207.694	461.05	06/15/20	473.52	...	-12.47	1 of 4 - Sale ²⁵
	9.000	19.98	06/15/20	20.52	...	-0.54	2 of 4 - Sale ²⁵
	1.101	2.44	06/15/20	2.57	...	-0.13	3 of 4 - Sale ²⁵
	0.205	0.46	06/15/20	0.48	...	-0.02	4 of 4 - Sale ²⁵
06/15/20	218.000	483.93	Various	497.09	...	-13.16	Total of 4 transactions
<i>2 transactions for 06/15/20. Total proceeds and cost reported to the IRS.</i>							
	0.205	0.46	06/15/20	0.47	0.01 W	0.00	1 of 2 - Sale ²⁵
	1.101	2.45	06/15/20	2.51	0.06 W	0.00	2 of 2 - Sale ²⁵
06/15/20	1.306	2.91	Various	2.98	0.07 W	0.00	Total of 2 transactions
	Security total:	486.84		500.07	0.07 W	-13.16	
INOVIO PHARMACEUTICALS, INC. C OMMON STOCK / CUSIP: 45773H201 / Symbol:							
03/10/20	66.000	403.91	03/09/20	956.34	...	-552.43	Sale ²⁵
<i>4 transactions for 06/11/20. Total proceeds and cost reported to the IRS.</i>							
	0.457	5.85	06/05/20	5.39	...	0.46	1 of 4 - Sale ²⁵
	0.412	5.36	06/05/20	4.87	...	0.49	2 of 4 - Sale ²⁵
	3.552	45.62	06/05/20	41.95	...	3.67	3 of 4 - Sale ²⁵

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Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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

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INOVIO PHARMACEUTICALS, INC. C OMMON STOCK / CUSIP: 45773H201 / Symbol: (cont'd)							
	71.448	917.57	06/05/20	843.79	...	73.78	4 of 4 - Sale ²⁵
06/11/20	75.868	974.40	Various	896.00	...	78.40	Total of 4 transactions
	Security total:	1,378.31		1,852.34	...	-474.03	
INVESCO MORTGAGE CAPITAL INC. / CUSIP: 46131B100 / Symbol:							
05/11/20	100.000	271.99	05/05/20	297.75	...	-25.76	Sale ²⁵
LATAM AIRLS GROUP S A AMERICAN DEPOSITARY SHARES - SPONSORED / CUSIP: 51817R106 / Symbol:							
06/05/20	500.000	1,066.86	06/03/20	1,089.10	...	-22.24	Sale ²⁵
MATINAS BIOPHARMA HOLDINGS, IN C. / CUSIP: 576810105 / Symbol:							
09/18/20	426.000	336.92	07/02/20	329.00	...	7.92	Sale ²⁵
MICROVISION, INC. COMMON STOCK / CUSIP: 594960304 / Symbol:							
05/27/20	100.000	88.20	05/11/20	81.41	...	6.79	Sale ²⁵
OI S.A. AMERICAN DEPOSITARY SH ARES, EACH REPRESENTING FIVE S HARES OF COMMON STOCK / CUSIP: 670851500 / Symbol:							
	2 transactions for 04/21/20. Total proceeds and cost reported to the IRS.						
	44.000	24.11	03/11/20	45.17	...	-21.06	1 of 2 - Sale ²⁵
	23.000	12.60	03/11/20	23.92	...	-11.32	2 of 2 - Sale ²⁵
04/21/20	67.000	36.71	Various	69.09	...	-32.38	Total of 2 transactions
ORAGENICS INC. / CUSIP: 684023302 / Symbol:							
03/19/20	300.000	153.05	03/10/20	191.68	...	-38.63	Sale ²⁵
06/08/20	293.000	181.98	05/19/20	189.57	...	-7.59	Sale ²⁵
	Security total:	335.03		381.25	...	-46.22	
SASOL LIMITED / CUSIP: 803866300 / Symbol:							
	2 transactions for 04/30/20. Total proceeds and cost reported to the IRS.						
	50.000	237.98	03/11/20	169.46	...	68.52	1 of 2 - Sale ²⁵
	81.000	385.54	03/19/20	147.35	...	238.19	2 of 2 - Sale ²⁵
04/30/20	131.000	623.52	Various	316.81	...	306.71	Total of 2 transactions
	3 transactions for 06/09/20. Total proceeds and cost reported to the IRS.						
	16.000	158.88	06/08/20	172.24	...	-13.36	1 of 3 - Sale ²⁵
	0.801	7.95	06/08/20	8.62	...	-0.67	2 of 3 - Sale ²⁵

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2020 1099-B* OMB No. 1545-0715

(continued)

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

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SASOL LIMITED / CUSIP: 803866300 / Symbol: (cont'd)							
	0.104	1.04	06/08/20	1.12	...	-0.08	3 of 3 - Sale ²⁵
06/09/20	16.905	167.87	Various	181.98	...	-14.11	Total of 3 transactions
	Security total:	791.39		498.79	...	292.60	
TIMBER PHARMACEUTICALS, INC. / CUSIP: 887080109 / Symbol:							
2 transactions for 06/08/20. Total proceeds and cost reported to the IRS.							
	25.000	70.75	05/14/20	183.00	...	-112.25	1 of 2 - Sale ²⁵
	50.000	141.49	05/26/20	155.00	...	-13.51	2 of 2 - Sale ²⁵
06/08/20	75.000	212.24	Various	338.00	...	-125.76	Total of 2 transactions
UNITED STATES OIL FUND, LP / CUSIP: 91232N207 / Symbol:							
3 transactions for 05/29/20. Total proceeds and cost reported to the IRS.							
	0.010	0.25	04/21/20	0.22	...	0.03	1 of 3 - Sale ²⁵
	2.703	69.84	04/21/20	62.49	...	7.35	2 of 3 - Sale ²⁵
	12.287	317.52	04/21/20	284.09	...	33.43	3 of 3 - Sale ²⁵
05/29/20	15.000	387.61	Various	346.80	...	40.81	Total of 3 transactions
VISLINK TECHNOLOGIES, INC. COM MON STOCK / CUSIP: 92836Y201 / Symbol:							
05/20/20	455.000	138.73	05/12/20	142.82	1.80 W	-2.29	Sale ²⁵
06/01/20	200.000	78.60	05/20/20	62.80	...	15.80	Sale ²⁵
	Security total:	217.33		205.62	1.80 W	13.51	
ZOMEDICA PHARMACEUTICALS CORP. / CUSIP: 98979F107 / Symbol:							
4 transactions for 09/18/20. Total proceeds and cost reported to the IRS.							
	674.000	66.65	05/21/20	162.03	...	-95.38	1 of 4 - Sale ²⁵
	1,007.000	99.57	06/08/20	201.89	...	-102.32	2 of 4 - Sale ²⁵
	98.000	9.69	07/02/20	16.58	...	-6.89	3 of 4 - Sale ²⁵
	2,453.000	242.56	08/18/20	351.27	...	-108.71	4 of 4 - Sale ²⁵
09/18/20	4,232.000	418.47	Various	731.77	...	-313.30	Total of 4 transactions
NOBLE CORP PLC COMMON STOCK / CUSIP: G65431101 / Symbol:							
6 transactions for 09/18/20. Total proceeds and cost reported to the IRS.							
	500.000	13.09	06/09/20	269.40	...	-256.31	1 of 6 - Sale ²⁵
	250.000	6.54	06/10/20	102.50	...	-95.96	2 of 6 - Sale ²⁵

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(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
NOBLE CORP PLC COMMON STOCK / CUSIP: G65431101 / Symbol: (cont'd)							
	150.000	3.93	06/10/20	60.99	...	-57.06	3 of 6 - Sale ²⁵
	100.000	2.62	06/10/20	40.66	...	-38.04	4 of 6 - Sale ²⁵
	415.000	10.86	06/11/20	142.30	...	-131.44	5 of 6 - Sale ²⁵
	1,000.000	26.18	07/30/20	219.20	...	-193.02	6 of 6 - Sale ²⁵
09/18/20	2,415.000	63.22	Various	835.05	...	-771.83	Total of 6 transactions
TOP SHIPS, INC. COMMON STOCK / CUSIP: Y8897Y164 / Symbol:							
3 transactions for 06/05/20. Total proceeds and cost reported to the IRS.							
	30.000	7.52	05/18/20	4.59	...	2.93	1 of 3 - Sale ²⁵
	100.000	25.06	05/18/20	15.29	...	9.77	2 of 3 - Sale ²⁵
	522.000	130.85	05/18/20	79.81	...	51.04	3 of 3 - Sale ²⁵
06/05/20	652.000	163.43	Various	99.69	...	63.74	Total of 3 transactions
TOP SHIPS, INC. COMMON STOCK / CUSIP: Y8897Y180 / Symbol:							
10 transactions for 08/18/20. Total proceeds and cost reported to the IRS.							
	27.240	34.89	06/05/20	176.86	...	-141.97	1 of 10 - Sale ²⁵
	23.720	30.38	06/12/20	95.07	...	-64.69	2 of 10 - Sale ²⁵
	1.160	1.49	06/12/20	4.66	...	-3.17	3 of 10 - Sale ²⁵
	52.320	67.02	06/15/20	190.44	...	-123.42	4 of 10 - Sale ²⁵
	4.000	5.12	07/08/20	10.69	...	-5.57	5 of 10 - Sale ²⁵
	23.560	30.18	07/15/20	63.08	...	-32.90	6 of 10 - Sale ²⁵
	4.000	5.12	07/15/20	10.71	...	-5.59	7 of 10 - Sale ²⁵
	4.000	5.12	07/15/20	10.70	...	-5.58	8 of 10 - Sale ²⁵
	4.000	5.12	07/15/20	10.70	...	-5.58	9 of 10 - Sale ²⁵
	144.000	184.46	08/10/20	212.90	...	-28.44	10 of 10 - Sale ²⁵
08/18/20	288.000	368.90	Various	785.81	...	-416.91	Total of 10 transactions
Totals :		19,554.90		28,875.82	2,893.06 W	-6,427.86	

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Robinhood Securities LLC

Account 134530229

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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

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

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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
FITBIT, INC. CLASS A COMMON STOCK / CUSIP: 33812L102 / Symbol:							
06/15/20	1.000	6.21	12/26/17	5.97	...	0.24	Sale ²⁵
ZYNGA INC. CLASS A COMMON STOCK / CUSIP: 98986T108 / Symbol:							
<i>2 transactions for 05/29/20. Total proceeds and cost reported to the IRS.</i>							
	1.000	8.89	12/26/17	3.94	...	4.95	1 of 2 - Sale ²⁵
	1.000	8.90	07/26/18	4.14	...	4.76	2 of 2 - Sale ²⁵
05/29/20	2.000	17.79	Various	8.08	...	9.71	Total of 2 transactions
Totals :		24.00		14.05		9.95	

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Account 134530229

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
TIMBER PHARMACEUTICALS, INC. / CUSIP: 887080109 / Symbol: 06/15/20	0.167	0.09	05/14/20	1.22	...	-1.13	Gain or loss
UNITED STATES OIL FUND, LP / CUSIP: 91232N207 / Symbol: 05/12/20	0.213	3.48	04/21/20	4.91	...	-1.43	Gain or loss
TOP SHIPS, INC. COMMON STOCK / CUSIP: Y8897Y180 / Symbol: 08/14/20	0.760	1.19	06/05/20	4.93	...	-3.74	Gain or loss
Totals:		4.76		11.06	...	-6.30	

Robinhood Securities LLC

Account 134530229

Proceeds Not Reported to the IRS

2020

(continued)

02/14/2021

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

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

Description of property

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
T-MOBILE US, INC. COMMON STOCK / CUSIP: 872590104 / Symbol: 04/06/20	0.103	8.93	12/17/17	5.49	...	3.44	Gain or loss
Totals:		8.93		5.49	...	3.44	

Robinhood Securities LLC

Account 134530229

Non-Reportable Actions

2020

02/14/2021

Security Description	CUSIP and/or symbol	Date	Quantity	Amount	Transaction type	Notes
SPRINT CORPORATION	85207U105	04/01/20	-1.00	0.00	Merger	

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-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 may also have a filing requirement. See the Instructions for Form 8938.

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

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

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

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

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

Instructions for Recipient

(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.