

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 777455395	Statement Date: 02/14/2021 Document ID: E9C0 418 8G3Q	2020
	Shiva Madiraju 15950 E Briarwood Cir 202 Aurora, CO 80016 RECIPIENT'S TIN: XXX-XX-2282		

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)	4.43		2- Royalties	0.00	
1b- Qualified dividends	2.09		3- Other income	0.00	
2a- Total capital gain distributions (includes lines 2b, 2c, 2d)	0.06		4- Federal income tax withheld	0.00	
2b- Unrecaptured Section 1250 gain	0.00		8- Substitute payments in lieu of dividends or interest	0.10	
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	2.69		8- Profit or (loss) realized in 2020 on closed contracts	0.00	
4- Federal income tax withheld	0.00		9- Unrealized profit or (loss) on open contracts-12/31/2019	0.00	
5- Section 199A dividends	2.34		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	34.72				
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)	10,724.63	9,310.37	0.00	49.91	1,464.17
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)	33.34	78.09	0.00	0.00	-44.75
	Total Short-term	10,757.97	9,388.46	0.00	49.91	1,419.42
Long	D (basis reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Long	E (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Long	F (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
	Total Long-term	0.00	0.00	0.00	0.00	0.00
Undetermined	B or E (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Undetermined	C or F (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
	Total Undetermined-term	0.00	0.00	0.00	0.00	0.00
	Grand total	10,757.97	9,388.46	0.00	49.91	1,419.42
Withholding		Amount				
	Federal income tax withheld	0.00				

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

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Summary Information

2020

(continued)

02/14/2021

INTEREST INCOME

2020 1099-INT

OMB No. 1545-0112

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1- Interest income (not included in line 3)	0.01
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	See detail

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

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

STATE TAX WITHHELD

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

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

ORIGINAL ISSUE DISCOUNT AND ADJUSTMENTS

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

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

RECONCILIATIONS, FEES, EXPENSES AND EXPENDITURES

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

Other Receipts & Reconciliations- Partnership distributions	1.25
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
AMC ENTERTAINMENT HOLDINGS, IN C. / CUSIP: 00165C104 / Symbol:							
11/20/20	2.000	6.68	04/17/20	6.43	...	0.25	Sale ²⁵
AGEAGLE AERIAL SYSTEMS, INC. / CUSIP: 00848K101 / Symbol:							
12/23/20	1.000	7.49	12/22/20	6.91	...	0.58	Sale ²⁵
ALPHABET INC. CLASS A COMMON S TOCK / CUSIP: 02079K305 / Symbol:							
12/22/20	0.006	10.04	12/18/20	10.00	...	0.04	Sale ²⁵
AMAZON.COM, INC. COMMON STOCK / CUSIP: 023135106 / Symbol:							
11/25/20	0.219	697.73	11/25/20	700.00	0.06 W	-2.21	Sale ²⁵
	2 transactions for 12/29/20. Total proceeds and cost reported to the IRS.						
	0.003	10.45	12/18/20	10.03	...	0.42	1 of 2 - Sale ²⁵
	0.003	10.46	12/18/20	10.03	...	0.43	2 of 2 - Sale ²⁵
12/29/20	0.006	20.91	Various	20.06	...	0.85	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

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
AMAZON.COM, INC. COMMON STOCK / CUSIP: 023135106 / Symbol: (cont'd)							
Security total:		718.64		720.06		0.06 W	-1.36
AMERICAN AIRLINES GROUP INC. C OMMON STOCK / CUSIP: 02376R102 / Symbol:							
2 transactions for 11/09/20. Total proceeds and cost reported to the IRS.							
	1.000	13.31	03/16/20	12.32	...	0.99	1 of 2 - Sale ²⁵
	3.000	39.93	03/31/20	38.70	...	1.23	2 of 2 - Sale ²⁵
11/09/20	4.000	53.24	Various	51.02	...	2.22	Total of 2 transactions
AMPIO PHARMACEUTICALS, INC / CUSIP: 03209T109 / Symbol:							
12/22/20	1.000	2.29	12/18/20	2.19	...	0.10	Sale ²⁵
ANTERIX INC. COMMON STOCK / CUSIP: 03676C100 / Symbol:							
12/22/20	0.490	20.19	12/21/20	20.00	...	0.19	Sale ²⁵
APARTMENT INVESTMENT AND MANAG EMENT COMPANY / CUSIP: 03748R747 / Symbol:							
12/18/20	1.000	4.56	12/15/20	6.00	1.44 W	0.00	Sale ²⁵
12/21/20	1.000	4.56	12/15/20	7.21	2.65 W	0.00	Sale ²⁵
Security total:		9.12		13.21	4.09 W	0.00	
APPLE INC. COMMON STOCK / CUSIP: 037833100 / Symbol:							
12/29/20	0.052	7.07	12/28/20	7.00	...	0.07	Sale ²⁵
ARBUTUS BIOPHARMA CORPORATION COMMON STOCK / CUSIP: 03879J100 / Symbol:							
12/16/20	3.000	14.46	12/15/20	15.11	0.65 W	0.00	Sale ²⁵
12/18/20	1.000	4.59	12/17/20	5.07	...	-0.48	Sale ²⁵
2 transactions for 12/18/20. Total proceeds and cost reported to the IRS.							
	1.000	4.46	12/17/20	5.08	0.62 W	0.00	1 of 2 - Sale ²⁵
	1.000	4.63	12/17/20	5.08	0.45 W	0.00	2 of 2 - Sale ²⁵
12/18/20	2.000	9.09	Various	10.16	1.07 W	0.00	Total of 2 transactions
Security total:		28.14		30.34	1.72 W	-0.48	
AURORA CANNABIS INC. COMMON SH ARES / CUSIP: 05156X884 / Symbol:							
12/09/20	1.000	9.88	03/30/20	10.10	...	-0.22	Sale ²⁵
AUTOZONE, INC. / CUSIP: 053332102 / Symbol:							
12/23/20	0.008	10.03	12/18/20	10.00	...	0.03	Sale ²⁵

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2020 1099-B* OMB No. 1545-0715

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02/14/2021

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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)	7- Loss not allowed (X) also not reported (Z)	Gain or loss(-) & Additional information
AVIS BUDGET GROUP, INC. COMMON STOCK / CUSIP: 053774105 / Symbol:							
06/01/20	1.000	24.13	05/13/20	10.43	...	13.70	Sale ²⁵
AYTU BIOSCIENCE, INC. COMMON S TOCK / CUSIP: 054754874 / Symbol:							
12/21/20	1.000	6.05	12/10/20	8.53	...	-2.48	Sale ²⁵
AZUL S.A. AMERICAN DEPOSITARY SHARES (EACH REPRESENTING THREE PREFERRED SHARES) / CUSIP: 05501U106 / Symbol:							
4 transactions for 11/09/20. Total proceeds and cost reported to the IRS.							
	4.000	68.68	04/30/20	37.38	...	31.30	1 of 4 - Sale ²⁵
	2.000	34.34	05/06/20	15.63	...	18.71	2 of 4 - Sale ²⁵
	3.000	51.51	05/20/20	24.36	...	27.15	3 of 4 - Sale ²⁵
	1.000	17.17	06/11/20	10.87	...	6.30	4 of 4 - Sale ²⁵
11/09/20	10.000	171.70	Various	88.24	...	83.46	Total of 4 transactions
11/16/20	2.000	35.70	06/11/20	21.74	...	13.96	Sale ²⁵
	Security total:	207.40		109.98	...	97.42	
BANDWIDTH INC. CLASS A COMMON STOCK / CUSIP: 05988J103 / Symbol:							
12/03/20	1.000	159.85	12/03/20	161.89	...	-2.04	Sale ²⁵
BANK OF AMERICA CORPORATION / CUSIP: 060505104 / Symbol:							
04/28/20	4.000	96.25	04/02/20	82.36	...	13.89	Sale ²⁵
MICROSECTORS US BIG OIL 3X LEVERAGED ETN / CUSIP: 06367V105 / Symbol:							
12/01/20	1.000	51.65	11/20/20	47.95	...	3.70	Sale ²⁵
12/04/20	3.000	215.37	12/04/20	202.17	...	13.20	Sale ²⁵
	Security total:	267.02		250.12	...	16.90	
BERKSHIRE HATHAWAY INC. / CUSIP: 084670108 / Symbol:							
12/22/20	0.000	14.76	12/18/20	14.73	...	0.03	Sale ²⁵
BLINK CHARGING CO. COMMON STOCK / CUSIP: 09354A100 / Symbol:							
2 transactions for 12/18/20. Total proceeds and cost reported to the IRS.							
	0.500	18.89	12/16/20	15.21	...	3.68	1 of 2 - Sale ²⁵
	1.000	36.16	12/16/20	30.42	...	5.74	2 of 2 - Sale ²⁵
12/18/20	1.500	55.05	Various	45.63	...	9.42	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

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
BOINGO WIRELESS, INC. COMMON S TOCK / CUSIP: 09739C102 / Symbol:							
04/23/20	5.000	65.63	03/26/20	47.91	...	17.72	Sale ²⁵
BOMBARDIER INC. CLASS B SHARES (CANADA) / CUSIP: 097751200 / Symbol:							
11/23/20	20.000	6.05	11/20/20	6.11	...	-0.06	Sale ²⁵
C3.AI, INC. / CUSIP: 12468P104 / Symbol:							
12/10/20	1.000	126.50	12/10/20	100.87	...	25.63	Sale ²⁵
CIIG MERGER CORP. CLASS A COMM ON STOCK / CUSIP: 12559C103 / Symbol:							
2 transactions for 12/07/20. Total proceeds and cost reported to the IRS.							
	0.500	14.94	12/04/20	13.55	...	1.39	1 of 2 - Sale ²⁵
	1.000	29.80	12/04/20	27.10	...	2.70	2 of 2 - Sale ²⁵
12/07/20	1.500	44.74	Various	40.65	...	4.09	Total of 2 transactions
CALLON PETROLEUM COMPANY / CUSIP: 13123X508 / Symbol:							
2 transactions for 12/14/20. Total proceeds and cost reported to the IRS.							
	1.000	14.41	11/23/20	9.41	...	5.00	1 of 2 - Sale ²⁵
	1.000	14.41	12/07/20	13.17	...	1.24	2 of 2 - Sale ²⁵
12/14/20	2.000	28.82	Various	22.58	...	6.24	Total of 2 transactions
CANAAN INC. AMERICAN DEPOSITAR Y SHARES / CUSIP: 134748102 / Symbol:							
12/18/20	1.000	4.19	12/16/20	3.91	...	0.28	Sale ²⁵
12/21/20	1.000	4.25	12/16/20	3.90	...	0.35	Sale ²⁵
	Security total:	8.44		7.81	...	0.63	
CARNIVAL CORPORATION / CUSIP: 143658300 / Symbol:							
11/16/20	2.000	35.31	05/07/20	26.79	...	8.52	Sale ²⁵
CARRIER GLOBAL CORPORATION / CUSIP: 14448C104 / Symbol:							
12/29/20	0.393	14.52	12/28/20	15.00	...	-0.48	Sale ²⁵
CHIPOTLE MEXICAN GRILL, INC. / CUSIP: 169656105 / Symbol:							
12/23/20	0.007	10.03	12/18/20	10.00	...	0.03	Sale ²⁵
CIRCOR INTERNATIONAL, INC / CUSIP: 17273K109 / Symbol:							
05/15/20	5.000	54.77	04/13/20	59.90	...	-5.13	Sale ²⁵

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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
CITIGROUP INC. / CUSIP: 172967424 / Symbol:							
11/25/20	2.000	113.48	11/25/20	113.70	...	-0.22	Sale ²⁵
CLEAN ENERGY FUELS CORP. COMMO N STOCK / CUSIP: 184499101 / Symbol:							
12/23/20	0.697	5.41	12/22/20	5.00	...	0.41	Sale ²⁵
CONTANGO OIL & GAS CO. / CUSIP: 21075N204 / Symbol:							
12/16/20	5.000	11.98	12/15/20	10.75	...	1.23	Sale ²⁵
COREENERGY INFRASTRUCTURE TRUST, INC. (NEW / CUSIP: 21870U502 / Symbol:							
12/08/20	2.000	15.74	04/17/20	25.39	...	-9.65	Sale ²⁵
CORTEXME, INC. COMMON STOCK / CUSIP: 22053A107 / Symbol:							
12/16/20	1.000	31.36	12/14/20	32.63	...	-1.27	Sale ²⁵
CREDIT SUISSE AG NASSAU BRH OT HER / CUSIP: 22539T183 / Symbol:							
2 transactions for 11/20/20. Total proceeds and cost reported to the IRS.							
	1.000	6.74	04/13/20	30.05	...	-23.31	1 of 2 - Sale ²⁵
	2.000	13.48	06/01/20	27.06	...	-13.58	2 of 2 - Sale ²⁵
11/20/20	3.000	20.22	Various	57.11	...	-36.89	Total of 2 transactions
CREDIT SUISSE AG NASSAU BRH VE LOCITYSHARES DAILY 2X VIX SHOR T TERM ETN / CUSIP: 22542D258 / Symbol:							
11/16/20	1.000	33.22	06/03/20	128.32	...	-95.10	Sale ²⁵
CRESTWOOD EQUITY PARTNERS LP / CUSIP: 226344208 / Symbol:							
05/15/20	2.000	21.70	04/14/20	14.00	...	7.70	Sale ²⁵
CURIS, INC. COMMON STOCK / CUSIP: 231269200 / Symbol:							
2 transactions for 12/10/20. Total proceeds and cost reported to the IRS.							
	5.000	35.45	12/08/20	29.20	...	6.25	1 of 2 - Sale ²⁵
	5.500	38.99	12/09/20	41.13	...	-2.14	2 of 2 - Sale ²⁵
12/10/20	10.500	74.44	Various	70.33	...	4.11	Total of 2 transactions
DXC TECHNOLOGY COMPANY / CUSIP: 23355L106 / Symbol:							
04/27/20	3.000	49.44	04/01/20	36.12	...	13.32	Sale ²⁵

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(continued)

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DELTA AIR LINES, INC. / CUSIP: 247361702 / Symbol:							
3 transactions for 06/03/20. Total proceeds and cost reported to the IRS.							
	2.000	56.64	03/23/20	44.24	...	12.40	1 of 3 - Sale ²⁵
	2.000	56.64	04/02/20	45.62	...	11.02	2 of 3 - Sale ²⁵
	1.000	28.32	04/28/20	23.89	...	4.43	3 of 3 - Sale ²⁵
06/03/20	5.000	141.60	Various	113.75	...	27.85	Total of 3 transactions
2 transactions for 11/16/20. Total proceeds and cost reported to the IRS.							
	3.000	113.71	04/28/20	71.66	...	42.05	1 of 2 - Sale ²⁵
	2.000	75.80	05/06/20	41.92	...	33.88	2 of 2 - Sale ²⁵
11/16/20	5.000	189.51	Various	113.58	...	75.93	Total of 2 transactions
	Security total:	331.11		227.33	...	103.78	
DINE BRANDS GLOBAL, INC. / CUSIP: 254423106 / Symbol:							
05/06/20	1.000	37.21	04/17/20	34.47	...	2.74	Sale ²⁵
3 transactions for 11/09/20. Total proceeds and cost reported to the IRS.							
	1.000	64.83	05/14/20	32.74	...	32.09	1 of 3 - Sale ²⁵
	1.000	64.83	05/14/20	31.61	...	33.22	2 of 3 - Sale ²⁵
	3.000	194.49	05/14/20	97.33	...	97.16	3 of 3 - Sale ²⁵
11/09/20	5.000	324.15	Various	161.68	...	162.47	Total of 3 transactions
11/16/20	2.000	130.19	05/14/20	65.47	...	64.72	Sale ²⁵
	Security total:	491.55		261.62	...	229.93	
DIREXION DAILY FINANCIAL BULL 3X SHARES / CUSIP: 25459Y694 / Symbol:							
11/16/20	2.000	99.50	04/23/20	51.24	...	48.26	Sale ²⁵
DIREXION DAILY REAL ESTATE BEA R 3X SHARES / CUSIP: 25460E141 / Symbol:							
11/16/20	2.000	21.06	06/03/20	30.40	...	-9.34	Sale ²⁵
DIREXION DAILY S&P OIL & GAS E XP. & PROD. BULL 2X SHARES / CUSIP: 25460G500 / Symbol:							
11/16/20	1.000	29.84	06/05/20	49.00	19.16 W	0.00	Sale ²⁵
12/11/20	1.000	43.04	12/08/20	59.50	8.20 W	-8.26	Sale ²⁵
	Security total:	72.88		108.50	27.36 W	-8.26	

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DIREXION DAILY ENERGY BULL 2X SHARES / CUSIP: 25460G609 / Symbol:							
11/16/20	3.000	38.51	08/28/20	39.72	1.21 W	0.00	Sale ²⁵
	2 transactions for 12/01/20. Total proceeds and cost reported to the IRS.						
	2.000	27.14	11/18/20	27.68	...	-0.54	1 of 2 - Sale ²⁵
	1.000	13.56	11/18/20	13.84	...	-0.28	2 of 2 - Sale ²⁵
12/01/20	3.000	40.70	Various	41.52	...	-0.82	Total of 2 transactions
	Security total:	79.21		81.24	1.21 W	-0.82	
DIREXION DAILY JUNIOR GOLD MIN ERS INDEX BULL 2X SHARES / CUSIP: 25460G831 / Symbol:							
05/27/20	1.000	85.88	04/13/20	61.00	...	24.88	Sale ²⁵
11/16/20	1.000	120.53	05/27/20	87.32	...	33.21	Sale ²⁵
	Security total:	206.41		148.32	...	58.09	
THE WALT DISNEY COMPANY / CUSIP: 254687106 / Symbol:							
12/29/20	0.045	7.92	12/28/20	8.00	...	-0.08	Sale ²⁵
DIREXION DAILY HOMEBUILDERS & SUPPLIES BULL 3X SHARES / CUSIP: 25490K596 / Symbol:							
05/13/20	2.000	30.66	04/23/20	22.42	...	8.24	Sale ²⁵
08/10/20	1.000	46.76	04/23/20	11.21	...	35.55	Sale ²⁵
	Security total:	77.42		33.63	...	43.79	
DOCUSIGN, INC. COMMON STOCK / CUSIP: 256163106 / Symbol:							
12/04/20	1.000	245.50	12/03/20	230.99	...	14.51	Sale ²⁵
DOORDASH, INC. / CUSIP: 25809K105 / Symbol:							
12/10/20	1.000	174.82	12/09/20	183.63	...	-8.81	Sale ²⁵
EDITAS MEDICINE, INC. COMMON S TOCK / CUSIP: 28106W103 / Symbol:							
12/31/20	0.112	8.39	12/21/20	10.00	...	-1.61	Sale ²⁵
ELDORADO RESORTS, INC. COMMON STOCK / CUSIP: 28470R102 / Symbol:							
	2 transactions for 05/14/20. Total proceeds and cost reported to the IRS.						
	3.000	59.58	04/16/20	43.97	...	15.61	1 of 2 - Sale ²⁵
	2.000	39.72	05/04/20	36.64	...	3.08	2 of 2 - Sale ²⁵
05/14/20	5.000	99.30	Various	80.61	...	18.69	Total of 2 transactions

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ELDORADO RESORTS, INC. COMMON STOCK / CUSIP: 28470R102 / Symbol: (cont'd)							
06/09/20	4.000	171.81	05/04/20	73.28	...	98.53	Sale ²⁵
	Security total:	271.11		153.89	...	117.22	
ENDEAVOUR SILVER CORP. / CUSIP: 29258Y103 / Symbol:							
12/21/20	1.000	4.72	12/17/20	4.36	...	0.36	Sale ²⁵
EVERI HOLDINGS INC / CUSIP: 30034T103 / Symbol:							
11/16/20	4.000	44.18	04/30/20	20.76	...	23.42	Sale ²⁵
FINSERV ACQUISITION CORP. CLAS S A COMMON STOCK / CUSIP: 318085107 / Symbol:							
12/22/20	1.000	13.10	12/18/20	13.45	...	-0.35	Sale ²⁵
FINTECH ACQUISITION CORP. IV C LASS A COMMON STOCK / CUSIP: 31810N104 / Symbol:							
11/20/20	1.000	9.81	11/20/20	10.70	...	-0.89	Sale ²⁵
12/01/20	2.000	20.70	11/20/20	21.40	...	-0.70	Sale ²⁵
	Security total:	30.51		32.10	...	-1.59	
FIREEYE, INC. COMMON STOCK / CUSIP: 31816Q101 / Symbol:							
	2 transactions for 12/22/20. Total proceeds and cost reported to the IRS.						
	0.500	11.09	12/18/20	8.59	...	2.50	1 of 2 - Sale ²⁵
	1.000	22.16	12/18/20	17.18	...	4.98	2 of 2 - Sale ²⁵
12/22/20	1.500	33.25	Various	25.77	...	7.48	Total of 2 transactions
FORD MOTOR COMPANY / CUSIP: 345370860 / Symbol:							
04/17/20	1.000	5.06	03/19/20	5.58	...	-0.52	Sale ²⁵
FORMA THERAPEUTICS HOLDINGS, I NC. COMMON STOCK / CUSIP: 34633R104 / Symbol:							
	2 transactions for 12/11/20. Total proceeds and cost reported to the IRS.						
	2.000	92.58	12/11/20	93.62	...	-1.04	1 of 2 - Sale ²⁵
	0.500	23.18	12/11/20	23.40	...	-0.22	2 of 2 - Sale ²⁵
12/11/20	2.500	115.76	Various	117.02	...	-1.26	Total of 2 transactions
FUELCELL ENERGY, INC. COMMON S TOCK / CUSIP: 35952H601 / Symbol:							
12/15/20	1.000	8.10	12/15/20	8.13	...	-0.03	Sale ²⁵

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HELIX ENERGY SOLUTIONS GROUP, INC. / CUSIP: 42330P107 / Symbol:								
05/20/20	10.000	26.10	04/29/20	18.20	...	7.90	Sale ²⁵	
HELMERICH & PAYNE, INC. / CUSIP: 423452101 / Symbol:								
05/14/20	2.000	33.65	05/06/20	32.21	...	1.44	Sale ²⁵	
HOMOLOGY MEDICINES, INC. COMMON STOCK / CUSIP: 438083107 / Symbol:								
12/15/20	1.000	11.09	12/14/20	13.65	...	-2.56	Sale ²⁵	
HUMANIGEN, INC. COMMON STOCK / CUSIP: 444863203 / Symbol:								
12/22/20	1.000	19.05	12/17/20	13.50	...	5.55	Sale ²⁵	
HYLIION HOLDINGS CORP. / CUSIP: 449109107 / Symbol:								
12/02/20	1.000	18.16	11/30/20	21.04	...	-2.88	Sale ²⁵	
INPIXON COMMON STOCK / CUSIP: 45790J800 / Symbol:								
12/22/20	9.000	9.09	12/17/20	8.98	...	0.11	Sale ²⁵	
INVESCO MORTGAGE CAPITAL INC. / CUSIP: 46131B100 / Symbol:								
2 transactions for 11/16/20. Total proceeds and cost reported to the IRS.								
	5.000	16.41	04/17/20	14.73	...	1.68	1 of 2 - Sale ²⁵	
	3.000	9.85	11/16/20	9.95	...	-0.10	2 of 2 - Sale ²⁵	
11/16/20	8.000	26.26	Various	24.68	...	1.58	Total of 2 transactions	
KOSMOS ENERGY LTD. / CUSIP: 500688106 / Symbol:								
3 transactions for 12/15/20. Total proceeds and cost reported to the IRS.								
	9.000	19.26	11/18/20	14.57	...	4.69	1 of 3 - Sale ²⁵	
	1.000	2.14	12/01/20	1.63	...	0.51	2 of 3 - Sale ²⁵	
	5.000	10.70	12/01/20	8.15	...	2.55	3 of 3 - Sale ²⁵	
12/15/20	15.000	32.10	Various	24.35	...	7.75	Total of 3 transactions	
LEMONADE, INC. / CUSIP: 52567D107 / Symbol:								
12/29/20	0.176	20.29	12/29/20	20.00	...	0.29	Sale ²⁵	
LEXICON PHARMACEUTICALS, INC. COMMON STOCK / CUSIP: 528872302 / Symbol:								
12/15/20	3.000	9.27	12/11/20	11.12	...	-1.85	Sale ²⁵	

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LIBERTY TRIPADVISOR HOLDINGS, INC. SERIES B COMMON STOCK / CUSIP: 531465201 / Symbol:							
2 transactions for 04/16/20. Total proceeds and cost reported to the IRS.							
	1.000	51.51	04/15/20	16.51	...	35.00	1 of 2 - Sale ²⁵
	1.000	60.01	04/15/20	16.51	...	43.50	2 of 2 - Sale ²⁵
04/16/20	2.000	111.52	Various	33.02	...	78.50	Total of 2 transactions
LUCKIN COFFEE INC AMERICAN DEP OSITARY SHARES - SPONSORED / CUSIP: 54951L109 / Symbol:							
2 transactions for 11/16/20. Total proceeds and cost reported to the IRS.							
	10.000	47.82	06/08/20	46.90	...	0.92	1 of 2 - Sale ²⁵
	10.000	47.82	06/08/20	45.60	...	2.22	2 of 2 - Sale ²⁵
11/16/20	20.000	95.64	Various	92.50	...	3.14	Total of 2 transactions
LUMINAR TECHNOLOGIES, INC. CLA SS A COMMON STOCK / CUSIP: 550424105 / Symbol:							
12/21/20	1.000	34.84	12/16/20	25.87	...	8.97	Sale ²⁵
MARATHON PATENT GROUP, INC. CO MMON STOCK / CUSIP: 56585W401 / Symbol:							
12/21/20	1.000	11.16	12/16/20	8.37	...	2.79	Sale ²⁵
12/22/20	1.000	12.60	12/17/20	10.10	...	2.50	Sale ²⁵
	Security total:	23.76		18.47	...	5.29	
MICROVISION, INC. COMMON STOCK / CUSIP: 594960304 / Symbol:							
2 transactions for 12/21/20. Total proceeds and cost reported to the IRS.							
	2.000	10.44	12/17/20	10.18	...	0.26	1 of 2 - Sale ²⁵
	1.000	5.71	12/17/20	5.09	...	0.62	2 of 2 - Sale ²⁵
12/21/20	3.000	16.15	Various	15.27	...	0.88	Total of 2 transactions
12/22/20	1.000	6.76	12/17/20	5.09	...	1.67	Sale ²⁵
	Security total:	22.91		20.36	...	2.55	
MIMEDX GROUP, INC COMMON STOCK / CUSIP: 602496101 / Symbol:							
12/18/20	1.000	9.99	12/16/20	8.24	...	1.75	Sale ²⁵
12/21/20	1.000	9.37	12/16/20	8.24	...	1.13	Sale ²⁵
	Security total:	19.36		16.48	...	2.88	
MIRUM PHARMACEUTICALS, INC. CO MMON STOCK / CUSIP: 604749101 / Symbol:							
12/16/20	1.000	18.28	12/15/20	19.07	0.79 W	0.00	Sale ²⁵

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MODERNA, INC. COMMON STOCK / CUSIP: 60770K107 / Symbol:							
2 transactions for 12/07/20. Total proceeds and cost reported to the IRS.							
	1.000	154.06	12/01/20	145.14	...	8.92	1 of 2 - Sale ²⁵
	1.000	154.05	12/02/20	142.34	...	11.71	2 of 2 - Sale ²⁵
12/07/20	2.000	308.11	Various	287.48	...	20.63	Total of 2 transactions
12/09/20	1.000	162.86	12/07/20	157.92	...	4.94	Sale ²⁵
	Security total:	470.97		445.40	...	25.57	
MOLECULAR TEMPLATES, INC. COMM ON STOCK / CUSIP: 608550109 / Symbol:							
2 transactions for 12/15/20. Total proceeds and cost reported to the IRS.							
	2.000	19.85	12/11/20	19.34	...	0.51	1 of 2 - Sale ²⁵
	4.000	39.72	12/11/20	38.68	...	1.04	2 of 2 - Sale ²⁵
12/15/20	6.000	59.57	Various	58.02	...	1.55	Total of 2 transactions
NCR CORPORATION / CUSIP: 62886E108 / Symbol:							
11/16/20	5.000	123.96	06/18/20	90.95	...	33.01	Sale ²⁵
NIO INC. AMERICAN DEPOSITARY S HARES, EACH REPRESENTING ONE C LASS A ORDINARY SHARE / CUSIP: 62914V106 / Symbol:							
12/08/20	1.000	46.04	12/07/20	45.35	...	0.69	Sale ²⁵
12/09/20	1.000	45.32	12/07/20	45.34	...	-0.02	Sale ²⁵
	Security total:	91.36		90.69	...	0.67	
NANTHEALTH, INC. COMMON STOCK / CUSIP: 630104107 / Symbol:							
2 transactions for 12/22/20. Total proceeds and cost reported to the IRS.							
	2.000	7.82	12/11/20	10.42	...	-2.60	1 of 2 - Sale ²⁵
	1.000	3.91	12/15/20	4.02	...	-0.11	2 of 2 - Sale ²⁵
12/22/20	3.000	11.73	Various	14.44	...	-2.71	Total of 2 transactions
12/22/20	5.000	20.95	12/11/20	26.04	5.09 W	0.00	Sale ²⁵
	Security total:	32.68		40.48	5.09 W	-2.71	
NANTKWEST, INC. COMMON STOCK / CUSIP: 63016Q102 / Symbol:							
12/22/20	0.784	11.29	12/21/20	11.00	...	0.29	Sale ²⁵
NEXTCURE, INC. COMMON STOCK / CUSIP: 65343E108 / Symbol:							
12/21/20	1.000	10.55	12/18/20	11.37	...	-0.82	Sale ²⁵

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NOVAN, INC. COMMON STOCK / CUSIP: 66988N106 / Symbol:							
12/22/20	15.000	10.05	12/17/20	9.21	...	0.84	Sale ²⁵
OCCIDENTAL PETROLEUM CORPORATI ON / CUSIP: 674599105 / Symbol:							
11/16/20	3.000	37.83	11/16/20	37.73	...	0.10	Sale ²⁵
OKTA, INC. CLASS A COMMON STOC K / CUSIP: 679295105 / Symbol:							
12/03/20	1.000	245.68	12/03/20	254.73	...	-9.05	Sale ²⁵
ONCONOVA THERAPEUTICS, INC. CO MMON STOCK / CUSIP: 68232V405 / Symbol:							
12/23/20	10.000	5.82	12/17/20	3.75	...	2.07	Sale ²⁵
ORGANIGRAM HOLDINGS INC. COMMO N SHARES / CUSIP: 68620P101 / Symbol:							
3 transactions for 12/08/20. Total proceeds and cost reported to the IRS.							
	10.000	14.50	03/30/20	21.60	...	-7.10	1 of 3 - Sale ²⁵
	1.000	1.45	11/23/20	1.12	...	0.33	2 of 3 - Sale ²⁵
	10.000	14.50	12/03/20	15.00	...	-0.50	3 of 3 - Sale ²⁵
12/08/20	21.000	30.45	Various	37.72	...	-7.27	Total of 3 transactions
PFIZER INC. / CUSIP: 717081103 / Symbol:							
12/09/20	1.000	41.81	12/08/20	42.39	0.58 W	0.00	Sale ²⁵
12/11/20	1.000	41.24	12/08/20	42.39	1.15 W	0.00	Sale ²⁵
2 transactions for 12/14/20. Total proceeds and cost reported to the IRS.							
	1.000	40.14	12/08/20	42.38	2.24 W	0.00	1 of 2 - Sale ²⁵
	2.000	80.20	12/08/20	84.77	4.57 W	0.00	2 of 2 - Sale ²⁵
12/14/20	3.000	120.34	Various	127.15	6.81 W	0.00	Total of 2 transactions
12/16/20	1.000	38.21	12/14/20	42.31	...	-4.10	Sale ²⁵
12/29/20	1.000	37.04	12/14/20	41.23	...	-4.19	Sale ²⁵
12/31/20	1.000	36.53	12/14/20	40.66	...	-4.13	Sale ²⁵
	Security total:	315.17		336.13	8.54 W	-12.42	
PHOENIX TREE HOLDINGS LIMITED AMERICAN DEPOSITARY SHARES, EA CH REPRESENTING TEN (10) CLASS / CUSIP: 719156101 / Symbol:							
12/16/20	1.000	3.14	12/15/20	2.92	...	0.22	Sale ²⁵
PLATINUM GROUP METALS LTD. / CUSIP: 72765Q882 / Symbol:							
12/16/20	3.000	15.48	12/15/20	15.81	...	-0.33	Sale ²⁵

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Account 777455395

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2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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PRECISION BIOSCIENCES, INC. CO MMON STOCK / CUSIP: 74019P108 / Symbol:							
3 transactions for 12/14/20. Total proceeds and cost reported to the IRS.							
	2.500	19.78	12/08/20	18.95	...	0.83	1 of 3 - Sale ²⁵
	3.500	27.70	12/08/20	26.29	...	1.41	2 of 3 - Sale ²⁵
	3.000	23.74	12/09/20	21.52	...	2.22	3 of 3 - Sale ²⁵
12/14/20	9.000	71.22	Various	66.76	...	4.46	Total of 3 transactions
PREVAIL THERAPEUTICS INC. COMM ON STOCK / CUSIP: 74140Y101 / Symbol:							
2 transactions for 12/16/20. Total proceeds and cost reported to the IRS.							
	2.000	45.77	12/15/20	45.91	...	-0.14	1 of 2 - Sale ²⁵
	1.000	22.95	12/15/20	22.96	...	-0.01	2 of 2 - Sale ²⁵
12/16/20	3.000	68.72	Various	68.87	...	-0.15	Total of 2 transactions
PROGENITY, INC. COMMON STOCK / CUSIP: 74319F107 / Symbol:							
12/21/20	1.000	6.42	12/18/20	5.70	...	0.72	Sale ²⁵
12/22/20	1.000	6.64	12/18/20	5.70	...	0.94	Sale ²⁵
	Security total:	13.06		11.40	...	1.66	
PROSHARES ULTRA BLOOMBERG CRUD E OIL / CUSIP: 74347Y888 / Symbol:							
2 transactions for 12/01/20. Total proceeds and cost reported to the IRS.							
	0.500	15.71	11/18/20	14.52	...	1.19	1 of 2 - Sale ²⁵
	1.000	31.42	11/18/20	29.04	...	2.38	2 of 2 - Sale ²⁵
12/01/20	1.500	47.13	Various	43.56	...	3.57	Total of 2 transactions
QUANTUMSCAPE CORPORATION / CUSIP: 74767V109 / Symbol:							
2 transactions for 12/22/20. Total proceeds and cost reported to the IRS.							
	0.033	3.84	12/22/20	3.61	...	0.23	1 of 2 - Sale ²⁵
	0.150	17.47	12/22/20	16.39	...	1.08	2 of 2 - Sale ²⁵
12/22/20	0.183	21.31	Various	20.00	...	1.31	Total of 2 transactions
REDWOOD TRUST, INC. / CUSIP: 758075402 / Symbol:							
2 transactions for 11/16/20. Total proceeds and cost reported to the IRS.							
	2.000	18.27	04/17/20	6.88	...	11.39	1 of 2 - Sale ²⁵
	5.000	45.68	04/17/20	17.25	...	28.43	2 of 2 - Sale ²⁵
11/16/20	7.000	63.95	Various	24.13	...	39.82	Total of 2 transactions

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RENESOLA LTD AMERICAN DEPOSITA RY (EACH REPRESENTING TEN SHAR ES) / CUSIP: 75971T301 / Symbol:							
12/15/20	4.000	29.64	12/14/20	28.31	...	1.33	Sale ²⁵
RIOT BLOCKCHAIN, INC. COMMON STOCK / CUSIP: 767292105 / Symbol:							
12/17/20	1.000	11.20	12/16/20	11.36	...	-0.16	Sale ²⁵
12/21/20	1.000	10.77	12/16/20	11.35	...	-0.58	Sale ²⁵
12/22/20	0.811	10.00	12/16/20	9.21	...	0.79	Sale ²⁵
2 transactions for 12/28/20. Total proceeds and cost reported to the IRS.							
	0.189	2.99	12/16/20	2.14	...	0.85	1 of 2 - Sale ²⁵
	1.000	15.86	12/16/20	11.36	...	4.50	2 of 2 - Sale ²⁵
12/28/20	1.189	18.85	Various	13.50	...	5.35	Total of 2 transactions
	Security total:	50.82		45.42	...	5.40	
RYMAN HOSPITALITY PROPERTIES, INC / CUSIP: 78377T107 / Symbol:							
11/16/20	1.000	59.34	04/17/20	29.11	...	30.23	Sale ²⁵
SALESFORCE.COM, INC. / CUSIP: 79466L302 / Symbol:							
12/08/20	1.000	227.35	12/02/20	218.25	...	9.10	Sale ²⁵
SERITAGE GROWTH PROPERTIES CLA SS A COMMON SHARES OF BENEFICI AL INTEREST, PAR VALUE \$0.01 / CUSIP: 81752R100 / Symbol:							
11/16/20	3.000	47.31	04/17/20	30.23	...	17.08	Sale ²⁵
SIMON PROPERTY GROUP, INC. / CUSIP: 828806109 / Symbol:							
06/10/20	1.000	78.95	05/06/20	55.99	...	22.96	Sale ²⁵
11/16/20	1.000	80.16	06/10/20	82.16	...	-2.00	Sale ²⁵
	Security total:	159.11		138.15	...	20.96	
SLACK TECHNOLOGIES, INC. / CUSIP: 83088V102 / Symbol:							
12/02/20	2.000	84.72	11/25/20	74.20	...	10.52	Sale ²⁵
12/03/20	1.000	42.96	11/25/20	37.10	...	5.86	Sale ²⁵
	Security total:	127.68		111.30	...	16.38	

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SOLID BIOSCIENCES INC. COMMON STOCK / CUSIP: 83422E105 / Symbol:							
<i>2 transactions for 12/15/20. Total proceeds and cost reported to the IRS.</i>							
	1.000	6.27	12/11/20	5.51	...	0.76	1 of 2 - Sale ²⁵
	5.000	30.70	12/11/20	27.54	...	3.16	2 of 2 - Sale ²⁵
12/15/20	6.000	36.97	Various	33.05	...	3.92	Total of 2 transactions
12/16/20	4.000	22.64	12/11/20	22.02	...	0.62	Sale ²⁵
<i>2 transactions for 12/21/20. Total proceeds and cost reported to the IRS.</i>							
	1.000	7.17	12/17/20	6.82	...	0.35	1 of 2 - Sale ²⁵
	2.000	14.53	12/17/20	13.64	...	0.89	2 of 2 - Sale ²⁵
12/21/20	3.000	21.70	Various	20.46	...	1.24	Total of 2 transactions
	Security total:	81.31		75.53	...	5.78	
SPLUNK INC. COMMON STOCK / CUSIP: 848637104 / Symbol:							
12/09/20	1.000	155.38	12/03/20	165.29	...	-9.91	Sale ²⁵
STABLE ROAD ACQUISITION CORP. CLASS A COMMON STOCK / CUSIP: 85236Q109 / Symbol:							
12/22/20	0.660	11.81	12/21/20	11.00	...	0.81	Sale ²⁵
STONEX GROUP INC. COMMON STOCK / CUSIP: 861896108 / Symbol:							
12/14/20	1.000	52.48	12/11/20	56.10	...	-3.62	Sale ²⁵
SURFACE ONCOLOGY, INC. COMMON STOCK / CUSIP: 86877M209 / Symbol:							
12/21/20	1.000	9.05	12/18/20	9.79	...	-0.74	Sale ²⁵
<i>2 transactions for 12/22/20. Total proceeds and cost reported to the IRS.</i>							
	0.466	5.00	12/18/20	4.56	...	0.44	1 of 2 - Sale ²⁵
	0.534	5.78	12/18/20	5.23	...	0.55	2 of 2 - Sale ²⁵
12/22/20	1.000	10.78	Various	9.79	...	0.99	Total of 2 transactions
	Security total:	19.83		19.58	...	0.25	
TALOS ENERGY, INC. COMMON STOCK / CUSIP: 87484T108 / Symbol:							
12/14/20	1.000	9.14	12/10/20	8.97	...	0.17	Sale ²⁵
<i>2 transactions for 12/15/20. Total proceeds and cost reported to the IRS.</i>							
	2.000	17.96	12/10/20	17.95	...	0.01	1 of 2 - Sale ²⁵
	1.000	9.26	12/10/20	8.97	...	0.29	2 of 2 - Sale ²⁵
12/15/20	3.000	27.22	Various	26.92	...	0.30	Total of 2 transactions

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TALOS ENERGY, INC. COMMON STOC K / CUSIP: 87484T108 / Symbol: (cont'd)							
Security total:		36.36		35.89	...	0.47	
TENET HEALTHCARE CORPORATION N EW / CUSIP: 88033G407 / Symbol:							
12/11/20	1.000	41.65	12/10/20	41.19	...	0.46	Sale ²⁵
TESLA, INC. COMMON STOCK / CUSIP: 88160R101 / Symbol:							
2 transactions for 12/07/20. Total proceeds and cost reported to the IRS.							
	0.002	1.10	11/25/20	1.00	...	0.10	1 of 2 - Sale ²⁵
	1.000	619.13	11/25/20	562.78	...	56.35	2 of 2 - Sale ²⁵
12/07/20	1.002	620.23	Various	563.78	...	56.45	Total of 2 transactions
TILRAY, INC. CLASS 2 COMMON ST OCK / CUSIP: 88688T100 / Symbol:							
12/18/20	1.000	9.12	12/16/20	9.69	0.57 W	0.00	Sale ²⁵
TRICIDA, INC. COMMON STOCK / CUSIP: 89610F101 / Symbol:							
12/15/20	2.000	15.42	12/09/20	13.42	...	2.00	Sale ²⁵
TRILLIUM THERAPEUTICS INC. COM MON SHARES / CUSIP: 89620X506 / Symbol:							
12/15/20	10.000	117.50	12/10/20	120.43	...	-2.93	Sale ²⁵
22ND CENTURY GROUP INC. / CUSIP: 90137F103 / Symbol:							
2 transactions for 12/15/20. Total proceeds and cost reported to the IRS.							
	2.000	4.90	12/11/20	5.17	...	-0.27	1 of 2 - Sale ²⁵
	0.500	1.23	12/11/20	1.29	...	-0.06	2 of 2 - Sale ²⁵
12/15/20	2.500	6.13	Various	6.46	...	-0.33	Total of 2 transactions
ETRACS S&P GSCI CRUDE OIL TOTA L RETURN INDEX ETN / CUSIP: 90270L354 / Symbol:							
05/01/20	6.000	34.72	04/29/20	34.74	...	-0.02	Final principal payment ²⁵
UNITED AIRLINES HOLDINGS, INC. COMMON STOCK / CUSIP: 910047109 / Symbol:							
05/26/20	2.000	58.06	04/02/20	46.82	...	11.24	Sale ²⁵
05/26/20	1.000	29.03	04/01/20	29.51	0.48 W	0.00	Sale ²⁵
3 transactions for 06/03/20. Total proceeds and cost reported to the IRS.							
	1.000	33.21	05/04/20	23.86	...	9.35	1 of 3 - Sale ²⁵
	2.000	66.42	05/04/20	46.76	...	19.66	2 of 3 - Sale ²⁵

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UNITED AIRLINES HOLDINGS, INC. COMMON STOCK / CUSIP: 910047109 / Symbol: (cont'd)							
06/03/20	2.000	66.42	05/06/20	46.12	...	20.30	3 of 3 - Sale ²⁵
	5.000	166.05	Various	116.74	...	49.31	Total of 3 transactions
	5 transactions for 11/16/20. Total proceeds and cost reported to the IRS.						
	2.000	82.03	05/06/20	46.12	...	35.91	1 of 5 - Sale ²⁵
	1.000	41.02	05/13/20	20.54	...	20.48	2 of 5 - Sale ²⁵
	1.000	41.01	05/14/20	18.48	...	22.53	3 of 5 - Sale ²⁵
	1.000	41.02	05/15/20	20.49	...	20.53	4 of 5 - Sale ²⁵
	3.000	123.04	05/15/20	61.23	...	61.81	5 of 5 - Sale ²⁵
11/16/20	8.000	328.12	Various	166.86	...	161.26	Total of 5 transactions
	Security total:	581.26		359.93	0.48 W	221.81	
VERU INC. COMMON STOCK / CUSIP: 92536C103 / Symbol:							
12/15/20	2.000	18.68	12/14/20	20.82	...	-2.14	Sale ²⁵
	2 transactions for 12/16/20. Total proceeds and cost reported to the IRS.						
	1.000	10.00	12/14/20	10.41	...	-0.41	1 of 2 - Sale ²⁵
	3.000	31.68	12/14/20	31.23	...	0.45	2 of 2 - Sale ²⁵
12/16/20	4.000	41.68	Various	41.64	...	0.04	Total of 2 transactions
	Security total:	60.36		62.46	...	-2.10	
VISTA OUTDOOR INC. / CUSIP: 928377100 / Symbol:							
	2 transactions for 12/22/20. Total proceeds and cost reported to the IRS.						
	0.006	0.14	12/22/20	0.14	...	0.00	1 of 2 - Sale ²⁵
	0.797	20.40	12/22/20	19.86	...	0.54	2 of 2 - Sale ²⁵
12/22/20	0.802	20.54	Various	20.00	...	0.54	Total of 2 transactions
VUZIX CORPORATION COMMON STOCK / CUSIP: 92921W300 / Symbol:							
12/22/20	1.000	8.99	12/18/20	7.56	...	1.43	Sale ²⁵
XL FLEET CORP. / CUSIP: 9837FR100 / Symbol:							
	2 transactions for 12/23/20. Total proceeds and cost reported to the IRS.						
	0.001	0.02	12/21/20	0.02	...	0.00	1 of 2 - Sale ²⁵
	0.766	18.53	12/21/20	14.98	...	3.55	2 of 2 - Sale ²⁵
12/23/20	0.767	18.55	Various	15.00	...	3.55	Total of 2 transactions

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ZOOM VIDEO COMMUNICATIONS, INC . CLASS A COMMON STOCK / CUSIP: 98980L101 / Symbol:							
12/03/20	1.000	405.21	12/02/20	409.03	...	-3.82	Sale ²⁵
BIT DIGITAL, INC. ORDINARY SHA RES / CUSIP: G1144A105 / Symbol:							
2 transactions for 12/29/20. Total proceeds and cost reported to the IRS.							
	0.318	2.88	12/28/20	2.41	...	0.47	1 of 2 - Sale ²⁵
	0.999	9.08	12/28/20	7.59	...	1.49	2 of 2 - Sale ²⁵
12/29/20	1.316	11.96	Various	10.00	...	1.96	Total of 2 transactions
NORWEGIAN CRUISE LINE HOLDINGS LTD. ORDINARY SHARES / CUSIP: G66721104 / Symbol:							
6 transactions for 11/16/20. Total proceeds and cost reported to the IRS.							
	4.000	86.64	04/09/20	55.48	...	31.16	1 of 6 - Sale ²⁵
	2.000	43.32	04/16/20	22.50	...	20.82	2 of 6 - Sale ²⁵
	1.000	21.66	04/23/20	11.46	...	10.20	3 of 6 - Sale ²⁵
	2.000	43.32	04/24/20	21.62	...	21.70	4 of 6 - Sale ²⁵
	3.000	64.98	04/27/20	34.80	...	30.18	5 of 6 - Sale ²⁵
	10.000	216.60	06/04/20	192.25	...	24.35	6 of 6 - Sale ²⁵
11/16/20	22.000	476.52	Various	338.11	...	138.41	Total of 6 transactions
REWALK ROBOTICS LTD. ORDINARY SHARES / CUSIP: M8216Q200 / Symbol:							
12/21/20	2.000	2.82	12/14/20	2.76	...	0.06	Sale ²⁵
ROYAL CARIBBEAN GROUP / CUSIP: V7780T103 / Symbol:							
11/09/20	1.000	76.31	04/08/20	34.88	...	41.43	Sale ²⁵
DIGINEX LIMITED ORDINARY SHARE S / CUSIP: Y2074E109 / Symbol:							
12/18/20	1.000	9.61	12/16/20	11.17	...	-1.56	Sale ²⁵
2 transactions for 12/23/20. Total proceeds and cost reported to the IRS.							
	0.007	0.08	12/16/20	0.08	...	0.00	1 of 2 - Sale ²⁵
	0.870	9.92	12/16/20	9.72	...	0.20	2 of 2 - Sale ²⁵
12/23/20	0.877	10.00	Various	9.80	...	0.20	Total of 2 transactions
12/28/20	1.123	19.37	12/16/20	12.53	...	6.84	Sale ²⁵
Security total:		38.98		33.50	...	5.48	

* 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 777455395

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
TOP SHIPS, INC. COMMON STOCK / CUSIP: Y8897Y180 / Symbol:							
12/16/20	10.000	12.50	11/20/20	11.28	...	1.22	Sale ²⁵
Totals :		10,724.63		9,310.37	49.91 W	1,464.17	

* 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 777455395

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
MICROSECTORS US BIG OIL 3X LEV ERAGED ETN / CUSIP: 06367V105 / Symbol:							
10/22/20	0.250	7.95	06/18/20	22.55	...	-14.60	Gain or loss
CALIFORNIA RES CORP COMMON STO CK / CUSIP: 13057Q206 / Symbol:							
2 transactions for 11/04/20							
	10.000	0.00	06/09/20	19.58	...	-19.58	Gain or loss ²⁵
	1.000	0.00	06/09/20	1.94	...	-1.94	Gain or loss ²⁵
11/04/20	11.000	0.00	Various	21.52	...	-21.52	Total of 2 transactions
DIREXION DAILY JUNIOR GOLD MIN ERS INDEX BEAR 2X SHARES / CUSIP: 25460G807 / Symbol:							
2 transactions for 05/06/20							
	0.400	11.80	04/13/20	16.00	...	-4.20	Gain or loss
	0.400	11.81	04/13/20	16.00	...	-4.19	Gain or loss
05/06/20	0.800	23.61	Various	32.00	...	-8.39	Total of 2 transactions
INVESCO MORTGAGE CAPITAL INC. / CUSIP: 46131B100 / Symbol:							
07/08/20	0.550	1.78	04/17/20	2.02	...	-0.24	Gain or loss
Totals:		33.34		78.09	...	-44.75	

Robinhood Securities LLC

Account 777455395

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
COREENERGY INFRASTRUCTURE TRUST , INC. (NEW	21870U502		05/29/20	0.10	Nondividend distribution	03
			08/31/20	0.10	Nondividend distribution	03
				0.20	Total Dividends & distributions	
DIREXION DAILY FINANCIAL BULL 3X SHARES	25459Y694		06/30/20	0.07	Qualified dividend	
			09/29/20	0.09	Qualified dividend	
				0.16	Total Dividends & distributions	
DIREXION DAILY S&P OIL & GAS E XP. & PROD. BULL 2X SHARES	25460G500		06/30/20	0.01	Qualified dividend	
DIREXION DAILY ENERGY BULL 2X SHARES	25460G609		09/29/20	0.30	Qualified dividend	
HELMERICH & PAYNE, INC.	423452101		06/01/20	1.42	Qualified dividend	
INVESCO MORTGAGE CAPITAL INC.	46131B100		06/30/20	0.28	Nondividend distribution	03
			07/28/20	0.10	Nondividend distribution	03
			10/27/20	0.25	Nondividend distribution	03
				0.63	Total Dividends & distributions	
REDWOOD TRUST, INC.	758075402		06/29/20	0.88	Nondividend distribution	03
			09/29/20	0.98	Nondividend distribution	03
				1.86	Total Dividends & distributions	
SIMON PROPERTY GROUP, INC.	828806109		07/24/20	1.17	Section 199A dividend	03
			07/24/20	0.10	Qualified dividend	03
			07/24/20	0.03	Long-term capital gain	03
			10/23/20	1.17	Section 199A dividend	03
			10/23/20	0.10	Qualified dividend	03
			10/23/20	0.03	Long-term capital gain	03
				2.60	Total Dividends & distributions	

Robinhood Securities LLC 2020	Detail for Dividends and Distributions (continued)	Account 777455395 02/14/2021
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Security description	CUSIP and/or symbol	State	Date	Amount	Transaction type	Notes
ETRACS S&P GSCI CRUDE OIL TOTA L RETURN INDEX ETN	90270L354		05/01/20	34.72	Cash liquidation	
				41.90	Total Dividends & distributions	

Robinhood Securities LLC

Account 777455395

Detail for Interest Income**2020**

02/14/2021

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

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

Security description	CUSIP and/or symbol	Date	Amount	Transaction type	Notes
		11/30/20	0.01	Interest	
			0.01	Total Interest	

Robinhood Securities LLC

Account 777455395

Detail for Miscellaneous Income

2020

02/14/2021

<u>Security description</u>	<u>CUSIP and/or symbol</u>	<u>Date</u>	<u>Amount</u>	<u>Transaction type</u>	<u>Notes</u>
COREENERGY INFRASTRUCTURE TRUST , INC. (NEW	21870U502	11/30/20	0.10	Substitute payment	
			0.10	Total Miscellaneous income	

Robinhood Securities LLC

Account 777455395

Other Receipts and Reconciliations

2020

02/14/2021

This section of your tax information statement contains the detail of the year-to-year adjustments between cash distributions and reportable income for Unit Investment Trusts, reflecting the fact that income is recognized at the time it is received by the trust, rather than when a distribution is made.

Also shown are distributions whose tax impact will be defined by other documentation. In the case of partnership distributions, you will receive Schedule K-1 (Form 1065) directly from the partnership(s). For deferred income, the Form 1099-DIV issued in the following year will characterize the amounts received.

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

Security description	CUSIP and/or symbol	Date	Amount	Transaction type	Notes
CRESTWOOD EQUITY PARTNERS LP	226344208	05/15/20	1.25	Partnership distribution	
			1.25	Total Partnership distribution	

Robinhood Securities LLC

Account 777455395

Non-Reportable Actions

2020

02/14/2021

Security Description	CUSIP and/or symbol	Date	Quantity	Amount	Transaction type	Notes
CALIFORNIA RES CORP COMMON STO CK	13057Q206	11/04/20	-11.00	0.00	Security deemed worthless	
PIVOTAL INVESTMENT CORPORATION II	72582K100	12/21/20	-0.77	0.00	Exchange	
ETRACS S&P GSCI CRUDE OIL TOTA L RETURN INDEX ETN	90270L354	05/01/20	-6.00	0.00	Exchange	
XL FLEET CORP.	9837FR100	12/21/20	0.77	0.00	Exchange	

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

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

Common Instructions for Recipient

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Instructions for Recipient

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

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

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

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

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

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

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

1099-B Instructions for Recipient

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

1099-INT Instructions for Recipient

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

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

Instructions for Recipient

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

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

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

Line 2. Shows interest or principal forfeited because of early withdrawal of time savings. You may deduct this amount to figure your adjusted gross income on your income tax return. See the Instructions for Forms 1040 and 1040-SR to see where to take the deduction. **Line 3.** Shows interest on U.S. Savings Bonds, Treasury bills, Treasury bonds, and Treasury notes. This may or may not all be taxable. See Pub. 550. This interest is exempt from state and local income taxes. This interest is not included in line 1. See the instructions above for a taxable covered security acquired at a premium.

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

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

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

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

Line 8. Shows tax-exempt interest paid to you during the calendar year by the payer. See how to report this amount in the Instructions for Forms 1040 and 1040-SR. This amount may be subject to backup withholding. See Line 4 above. See the instructions above for a tax-exempt covered security acquired at a premium.

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

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

Line 11. For a taxable covered security (other than a U.S. Treasury obligation), shows the amount of premium amortization allocable to the interest payment(s), unless you notified the payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to amortize bond premium under section 171. If an amount is reported in this line, see the Instructions for Schedule B (Form 1040 or 1040-SR) to determine the net amount of interest includible in income on Form 1040 or 1040-SR with respect to the security. If an amount is not reported in this line for a taxable covered security acquired at a premium and the payer is reporting premium amortization, the payer has reported a net amount of interest in line 1. If the amount in line 11 is greater than the amount of interest paid on the covered security, see Regulations section 1.171-2(a)(4). **Line 12.** For a U.S. Treasury obligation that is a covered security, shows the amount of premium amortization allocable to the interest payment(s), unless you notified the payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to amortize bond premium under section 171. If an amount is reported in this line, see the Instructions for Schedule B (Form 1040 or 1040-SR) to determine the net amount of interest includible in income on Form 1040 or 1040-SR with respect to the U.S. Treasury obligation. If an amount is not reported in this line for a U.S. Treasury obligation that is a covered security acquired at a premium and the payer is reporting premium amortization, the payer has reported a net amount of interest in line 3. If the amount in line 12 is greater than the amount of interest paid on the U.S. Treasury obligation, see Regulations section 1.171-2(a)(4).

Line 13. For a tax-exempt covered security, shows the amount of premium amortization allocable to the interest payment(s). If an amount is reported in this line, see Pub. 550 to determine the net amount of tax-exempt interest reportable on Form 1040 or 1040-SR. If an amount is not reported in this line for a tax-exempt covered security acquired at a

premium, the payer has reported a net amount of interest in line 8 or 9, whichever is applicable. If the amount in line 13 is greater than the amount of interest paid on the tax-exempt covered security, the excess is a nondeductible loss. See Regulations section 1.171-2(a)(4)(ii).

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

1099-MISC Instructions for Recipient

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

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

Line 4. See "Backup Withholding" section.

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

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

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