

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 430147538	Statement Date: 02/14/2021 Document ID: NYNJ 56P W55H	2020
	Ramesh naidu Kristamsetty 1305 Marsh Trail Circle Northeast Sandy Springs, GA 30328 RECIPIENT'S TIN: XXX-XX-8480		

Summary Information

<p>DIVIDENDS AND DISTRIBUTIONS 2020 1099-DIV* OMB No. 1545-0110</p> <p>1a- Total ordinary dividends (includes lines 1b, 5) 14.00</p> <p>1b- Qualified dividends 0.00</p> <p>2a- Total capital gain distributions (includes lines 2b, 2c, 2d) 0.00</p> <p>2b- Unrecaptured Section 1250 gain 0.00</p> <p>2c- Section 1202 gain 0.00</p> <p>2d- Collectibles (28%) gain 0.00</p> <p>3- Nondividend distributions 2.00</p> <p>4- Federal income tax withheld 0.00</p> <p>5- Section 199A dividends 14.00</p> <p>6- Investment expenses 0.00</p> <p>8- Foreign country or US possession: 0.00</p> <p>7- Foreign tax paid: 0.00</p> <p>9- Cash liquidation distributions 0.00</p> <p>10- Noncash liquidation distributions 0.00</p> <p>11- Exempt-interest dividends (includes line 12) 0.00</p> <p>12- Specified private activity bond interest dividends (AMT) 0.00</p>	<p>MISCELLANEOUS INCOME 2020 1099-MISC* OMB No. 1545-0115</p> <p>2- Royalties 0.00</p> <p>3- Other income 0.00</p> <p>4- Federal income tax withheld 0.00</p> <p>8- Substitute payments in lieu of dividends or interest 0.00</p> <p>SECTION 1256 CONTRACTS 2020 1099-B* OMB No. 1545-0715</p> <p>8- Profit or (loss) realized in 2020 on closed contracts 0.00</p> <p>9- Unrealized profit or (loss) on open contracts-12/31/2019 0.00</p> <p>10- Unrealized profit or (loss) on open contracts-12/31/2020 0.00</p> <p>11- Aggregate profit or (loss) on contracts 0.00</p> <p style="text-align: center;"><i>If applicable, proceeds from sale transactions appear summarized below and are detailed in subsequent sections of this document.</i></p>
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SUMMARY OF PROCEEDS, GAINS & LOSSES, ADJUSTMENTS AND WITHHOLDING

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

Term	Form 8949 type	Proceeds	Cost basis	Market discount	Wash sale loss disallowed	Net gain or loss(-)
Short	A (basis reported to the IRS)	47,973.98	47,301.34	0.00	491.09	1,163.73
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)	2.04	2.19	0.00	0.00	-0.15
	Total Short-term	47,976.02	47,303.53	0.00	491.09	1,163.58
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	47,976.02	47,303.53	0.00	491.09	1,163.58
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

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.

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	35.55
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
AVXL 06/19/2020 CALL \$5.00 / CUSIP: / Symbol:							
06/17/20	1.000	5.98	06/16/20	7.00	...	-1.02	Option sale to close-call ²⁵
BA 07/17/2020 PUT \$135.00 / CUSIP: / Symbol:							
07/15/20	1.000	1.98	07/14/20	5.00	...	-3.02	Option sale to close-put ²⁵
07/16/20	1.000	0.98	07/14/20	5.00	...	-4.02	Option sale to close-put ²⁵
	Security total:	2.96		10.00	...	-7.04	
BAC 06/19/2020 CALL \$25.00 / CUSIP: / Symbol:							
06/16/20	1.000	111.98	06/16/20	90.00	...	21.98	Option sale to close-call ²⁵
BAC 06/19/2020 PUT \$25.00 / CUSIP: / Symbol:							
06/12/20	1.000	109.98	06/12/20	99.00	...	10.98	Option sale to close-put ²⁵

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Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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

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

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

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
BLNK 07/17/2020 PUT \$5.00 / CUSIP: / Symbol:							
07/07/20	1.000	49.98	07/06/20	0.00	...	49.98	Short sale closed- put ²⁵ Option written: 06/30/20
CBL 01/15/2021 CALL \$0.50 / CUSIP: / Symbol:							
07/21/20	5.000	24.98	07/20/20	0.00	...	24.98	Short sale closed- call ²⁵ Option written: 07/09/20
CBL 01/15/2021 PUT \$0.50 / CUSIP: / Symbol:							
07/16/20	1.000	-0.02	07/15/20	0.00	0.02 W	0.00	Short sale closed- put ²⁵ Option written: 07/10/20
10/27/20	1.000	4.98	10/26/20	0.00	...	4.98	Short sale closed- put ²⁵ Option written: 08/06/20
Security total:		4.96		0.00	0.02 W	4.98	
CBL 03/19/2021 CALL \$1.00 / CUSIP: / Symbol:							
08/03/20	1.000	5.00	07/31/20	0.00	...	5.00	Short sale closed- call ²⁵ Option written: 07/29/20
6 transactions for 08/04/20. Total proceeds and cost reported to the IRS.							
	1.000	5.00	08/03/20	0.00	...	5.00	1 of 6 - Short sale closed- call ²⁵ Option written: 07/29/20
	1.000	5.00	08/03/20	0.00	...	5.00	2 of 6 - Short sale closed- call ²⁵ Option written: 07/29/20
	2.000	9.99	08/03/20	0.00	...	9.99	3 of 6 - Short sale closed- call ²⁵ Option written: 07/29/20
	2.000	10.00	08/03/20	0.00	...	10.00	4 of 6 - Short sale closed- call ²⁵ Option written: 07/29/20
	3.000	14.99	08/03/20	0.00	...	14.99	5 of 6 - Short sale closed- call ²⁵ Option written: 07/29/20
	20.000	99.95	08/03/20	0.00	...	99.95	6 of 6 - Short sale closed- call ²⁵ Option written: 07/29/20
08/04/20	29.000	144.93	Various	0.00	...	144.93	Total of 6 transactions
08/20/20	1.000	9.98	08/19/20	0.00	...	9.98	Short sale closed- call ²⁵ Option written: 08/18/20
Security total:		159.91		0.00	...	159.91	

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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
CCO 09/18/2020 CALL \$2.50 / CUSIP: / Symbol:							
08/10/20	2.000	9.98	07/10/20	10.00	...	-0.02	Option sale to close-call ²⁵
GE 12/11/2020 PUT \$11.00 / CUSIP: / Symbol:							
12/11/20	2.000	0.00	12/10/20	10.00	...	-10.00	Option expiration- long put
GUSH 11/20/2020 PUT \$19.00 / CUSIP: / Symbol:							
11/09/20	1.000	4.98	11/06/20	0.00	...	4.98	Short sale closed- put ²⁵ Option written: 11/06/20
IDEX 02/19/2021 CALL \$2.50 / CUSIP: / Symbol:							
12/31/20	1.000	-0.02	12/30/20	0.00	0.02 W	0.00	Short sale closed- call ²⁵ Option written: 12/18/20
IVR 07/17/2020 CALL \$4.00 / CUSIP: / Symbol:							
07/06/20	1.000	29.98	07/02/20	0.00	...	29.98	Short sale closed- call ²⁵ Option written: 06/25/20
IVR 08/21/2020 CALL \$4.00 / CUSIP: / Symbol:							
2 transactions for 07/28/20. Total proceeds and cost reported to the IRS.							
	1.000	4.98	07/27/20	0.00	...	4.98	1 of 2 - Short sale closed- call ²⁵ Option written: 07/21/20
	1.000	4.98	07/27/20	0.00	...	4.98	2 of 2 - Short sale closed- call ²⁵ Option written: 07/21/20
07/28/20	2.000	9.96	Various	0.00	...	9.96	Total of 2 transactions
LUV 07/17/2020 PUT \$28.00 / CUSIP: / Symbol:							
07/17/20	1.000	0.00	07/13/20	5.00	...	-5.00	Option expiration- long put
MESO 01/15/2021 PUT \$7.50 / CUSIP: / Symbol:							
12/24/20	1.000	24.98	12/23/20	0.00	...	24.98	Short sale closed- put ²⁵ Option written: 12/22/20

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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
NERV 01/15/2021 CALL \$5.00 / CUSIP: / Symbol:							
<i>2 transactions for 07/31/20. Total proceeds and cost reported to the IRS.</i>							
	1.000	14.98	07/30/20	0.00	...	14.98	1 of 2 - Short sale closed- call ²⁵ Option written: 07/14/20
	1.000	19.98	07/30/20	0.00	...	19.98	2 of 2 - Short sale closed- call ²⁵ Option written: 07/14/20
07/31/20	2.000	34.96	Various	0.00	...	34.96	Total of 2 transactions
08/24/20	1.000	14.98	08/21/20	0.00	...	14.98	Short sale closed- call ²⁵ Option written: 08/20/20
	Security total:	49.94		0.00	...	49.94	
NERV 07/17/2020 CALL \$5.00 / CUSIP: / Symbol:							
07/15/20	1.000	9.98	07/14/20	0.00	...	9.98	Short sale closed- call ²⁵ Option written: 06/25/20
NERV 07/17/2020 PUT \$2.50 / CUSIP: / Symbol:							
06/24/20	1.000	9.98	06/23/20	0.00	...	9.98	Short sale closed- put ²⁵ Option written: 06/19/20
07/08/20	1.000	9.98	07/07/20	0.00	...	9.98	Short sale closed- put ²⁵ Option written: 06/25/20
	Security total:	19.96		0.00	...	19.96	
NIO 06/19/2020 CALL \$6.50 / CUSIP: / Symbol:							
06/16/20	1.000	59.98	06/16/20	43.00	...	16.98	Option sale to close-call ²⁵
NIO 06/19/2020 PUT \$7.00 / CUSIP: / Symbol:							
06/19/20	1.000	0.00	06/15/20	61.00	...	-61.00	Option expiration- long put
NIO 07/24/2020 PUT \$11.50 / CUSIP: / Symbol:							
07/21/20	1.000	38.98	07/20/20	0.00	...	38.98	Short sale closed- put ²⁵ Option written: 07/17/20
NIO 07/24/2020 PUT \$9.00 / CUSIP: / Symbol:							
07/21/20	1.000	32.98	07/20/20	0.00	...	32.98	Short sale closed- put ²⁵ Option written: 07/17/20

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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
NKLA 07/17/2020 PUT \$22.50 / CUSIP: / Symbol:							
07/17/20	1.000	0.00	07/14/20	5.00	...	-5.00	Option expiration- long put
NKLA 07/31/2020 CALL \$45.00 / CUSIP: / Symbol:							
07/31/20	1.000	0.00	07/24/20	15.00	...	-15.00	Option expiration- long call
NKLA 11/13/2020 PUT \$18.00 / CUSIP: / Symbol:							
11/09/20	1.000	14.98	11/06/20	0.00	...	14.98	Short sale closed- put ²⁵ Option written: 11/06/20
NOK 01/15/2021 CALL \$5.00 / CUSIP: / Symbol:							
08/03/20	1.000	62.98	06/26/20	45.00	...	17.98	Option sale to close-call ²⁵
NOK 06/19/2020 CALL \$4.50 / CUSIP: / Symbol:							
06/19/20	1.000	0.00	06/17/20	6.00	...	-6.00	Option expiration- long call
NOK 07/10/2020 CALL \$4.50 / CUSIP: / Symbol:							
07/10/20	1.000	0.00	07/09/20	3.00	...	-3.00	Option expiration- long call
NOK 07/10/2020 CALL \$5.00 / CUSIP: / Symbol:							
07/10/20	1.000	0.00	07/06/20	3.00	...	-3.00	Option expiration- long call
NOK 11/06/2020 CALL \$4.50 / CUSIP: / Symbol:							
<i>14 transactions for 11/06/20. Total proceeds and cost reported to the IRS.</i>							
	10.000	0.00	10/15/20	90.00	...	-90.00	1 of 14 - Option expiration- long call
	5.000	0.00	10/23/20	85.00	...	-85.00	2 of 14 - Option expiration- long call
	5.000	0.00	10/23/20	85.00	...	-85.00	3 of 14 - Option expiration- long call
	5.000	0.00	10/26/20	85.00	...	-85.00	4 of 14 - Option expiration- long call
	5.000	0.00	10/26/20	80.00	...	-80.00	5 of 14 - Option expiration- long call
	4.000	0.00	10/26/20	72.00	...	-72.00	6 of 14 - Option expiration- long call
	4.000	0.00	10/26/20	64.00	...	-64.00	7 of 14 - 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)

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NOK 11/06/2020 CALL \$4.50 / CUSIP: / Symbol: (cont'd)							
	2.000	0.00	10/26/20	36.00	...	-36.00	8 of 14 - Option expiration- long call
	1.000	0.00	10/26/20	18.00	...	-18.00	9 of 14 - Option expiration- long call
	1.000	0.00	10/26/20	18.00	...	-18.00	10 of 14 - Option expiration- long call
	1.000	0.00	10/26/20	18.00	...	-18.00	11 of 14 - Option expiration- long call
	1.000	0.00	10/26/20	18.00	...	-18.00	12 of 14 - Option expiration- long call
	1.000	0.00	10/26/20	16.00	...	-16.00	13 of 14 - Option expiration- long call
	1.000	0.00	10/28/20	10.00	...	-10.00	14 of 14 - Option expiration- long call
11/06/20	46.000	0.00	Various	695.00	...	-695.00	Total of 14 transactions
PHX 02/19/2021 PUT \$2.50 / CUSIP: / Symbol:							
2 transactions for 08/12/20. Total proceeds and cost reported to the IRS.							
	1.000	-15.02	08/11/20	0.00	...	-15.02	1 of 2 - Short sale closed- put ²⁵ Option written: 08/04/20
	1.000	-5.02	08/11/20	0.00	...	-5.02	2 of 2 - Short sale closed- put ²⁵ Option written: 07/20/20
08/12/20	2.000	-20.04	Various	0.00	...	-20.04	Total of 2 transactions
RESN 01/15/2021 PUT \$2.50 / CUSIP: / Symbol:							
07/31/20	1.000	19.98	07/30/20	0.00	...	19.98	Short sale closed- put ²⁵ Option written: 07/21/20
RESN 07/17/2020 PUT \$2.50 / CUSIP: / Symbol:							
2 transactions for 07/14/20. Total proceeds and cost reported to the IRS.							
	1.000	-0.02	07/13/20	0.00	...	-0.02	1 of 2 - Short sale closed- put ²⁵ Option written: 07/13/20
	1.000	-0.02	07/13/20	0.00	...	-0.02	2 of 2 - Short sale closed- put ²⁵ Option written: 07/13/20
07/14/20	2.000	-0.04	Various	0.00	...	-0.04	Total of 2 transactions

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TSLA 07/10/2020 PUT \$600.00 / CUSIP: / Symbol:							
07/10/20	1.000	0.00	07/07/20	5.00	...	-5.00	Option expiration- long put
TSLA 07/17/2020 PUT \$535.00 / CUSIP: / Symbol:							
07/15/20	1.000	0.98	07/13/20	5.00	...	-4.02	Option sale to close-put ²⁵
TSLA 07/17/2020 PUT \$540.00 / CUSIP: / Symbol:							
07/17/20	1.000	0.00	07/13/20	10.00	...	-10.00	Option expiration- long put
UVXY 11/27/2020 CALL \$12.00 / CUSIP: / Symbol:							
11/27/20	1.000	26.98	11/27/20	0.00	...	26.98	Short sale closed- call expired Option written: 11/25/20
UVXY 12/31/2020 PUT \$12.00 / CUSIP: / Symbol:							
11/24/20	1.000	-0.02	11/23/20	0.00	...	-0.02	Short sale closed- put ²⁵ Option written: 11/13/20
VERU 06/19/2020 CALL \$5.00 / CUSIP: / Symbol:							
06/19/20	1.000	0.00	06/16/20	5.00	...	-5.00	Option expiration- long call
WORK 06/19/2020 CALL \$29.50 / CUSIP: / Symbol:							
06/16/20	1.000	199.98	06/12/20	185.00	...	14.98	Option sale to close-call ²⁵
X 07/10/2020 CALL \$8.00 / CUSIP: / Symbol:							
07/10/20	1.000	0.00	06/18/20	88.00	...	-88.00	Option expiration- long call
ZNGA 01/15/2021 CALL \$10.00 / CUSIP: / Symbol:							
08/03/20	1.000	136.98	06/10/20	109.00	...	27.98	Option sale to close-call ²⁵
ZNGA 07/31/2020 CALL \$12.00 / CUSIP: / Symbol:							
07/31/20	1.000	0.00	07/13/20	5.00	...	-5.00	Option expiration- long call
ZNGA 08/07/2020 CALL \$9.50 / CUSIP: / Symbol:							
	2 transactions for 08/03/20. Total proceeds and cost reported to the IRS.						
	1.000	84.99	07/15/20	68.00	...	16.99	1 of 2 - Option sale to close-call ²⁵
	1.000	84.99	08/03/20	86.00	...	-1.01	2 of 2 - Option sale to close-call ²⁵
08/03/20	2.000	169.98	Various	154.00	...	15.98	Total of 2 transactions

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ACHIEVE LIFE SCIENCES, INC. CO MMON SHARES / CUSIP: 004468203 / Symbol:							
5 transactions for 07/29/20. Total proceeds and cost reported to the IRS.							
	29.000	21.25	07/06/20	11.83	...	9.42	1 of 5 - Sale ²⁵
	71.000	52.04	07/06/20	29.04	...	23.00	2 of 5 - Sale ²⁵
	150.000	109.93	07/21/20	66.00	...	43.93	3 of 5 - Sale ²⁵
	250.000	182.87	07/21/20	110.00	...	72.87	4 of 5 - Sale ²⁵
	1,500.000	1,097.19	07/21/20	653.55	...	443.64	5 of 5 - Sale ²⁵
07/29/20	2,000.000	1,463.28	Various	870.42	...	592.86	Total of 5 transactions
ACHIEVE LIFE SCIENCES, INC. CO MMON SHARES / CUSIP: 004468500 / Symbol:							
7 transactions for 07/31/20. Total proceeds and cost reported to the IRS.							
	2.850	42.83	07/22/20	34.70	...	8.13	1 of 7 - Sale ²⁵
	4.000	60.20	07/22/20	48.71	...	11.49	2 of 7 - Sale ²⁵
	18.150	272.79	07/22/20	221.39	...	51.40	3 of 7 - Sale ²⁵
	10.000	150.30	07/23/20	93.12	...	57.18	4 of 7 - Sale ²⁵
	15.000	225.44	07/29/20	202.23	...	23.21	5 of 7 - Sale ²⁵
	9.000	120.06	07/30/20	104.02	...	16.04	6 of 7 - Sale ²⁵
	15.000	200.10	07/30/20	173.37	...	26.73	7 of 7 - Sale ²⁵
07/31/20	74.000	1,071.72	Various	877.54	...	194.18	Total of 7 transactions
10 transactions for 09/18/20. Total proceeds and cost reported to the IRS.							
	1.000	12.27	07/30/20	11.56	...	0.71	1 of 10 - Sale ²⁵
	22.000	269.98	07/31/20	312.40	...	-42.42	2 of 10 - Sale ²⁵
	10.000	122.72	07/31/20	136.20	...	-13.48	3 of 10 - Sale ²⁵
	2.000	24.54	07/31/20	26.44	...	-1.90	4 of 10 - Sale ²⁵
	15.000	184.08	08/03/20	179.33	...	4.75	5 of 10 - Sale ²⁵
	10.000	122.72	08/03/20	109.90	...	12.82	6 of 10 - Sale ²⁵
	20.000	245.44	08/03/20	221.20	...	24.24	7 of 10 - Sale ²⁵
	10.000	122.72	08/04/20	107.55	...	15.17	8 of 10 - Sale ²⁵
	20.000	245.44	08/04/20	212.90	...	32.54	9 of 10 - Sale ²⁵
	90.000	1,104.47	08/11/20	975.15	...	129.32	10 of 10 - Sale ²⁵
09/18/20	200.000	2,454.38	Various	2,292.63	...	161.75	Total of 10 transactions
11/12/20	200.000	1,782.94	11/09/20	1,639.20	...	143.74	Sale ²⁵
	Security total:	5,309.04		4,809.37	...	499.67	

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ADAMIS PHARMACEUTICALS CORPORATION COMMON STOCK / CUSIP: 00547W208 / Symbol:							
2 transactions for 05/14/20. Total proceeds and cost reported to the IRS.							
	1.000	0.60	05/13/20	0.54	...	0.06	1 of 2 - Sale ²⁵
	99.000	59.39	05/13/20	53.46	...	5.93	2 of 2 - Sale ²⁵
05/14/20	100.000	59.99	Various	54.00	...	5.99	Total of 2 transactions
AKERS BIOSCIENCES INC. COMMON STOCK / CUSIP: 00973E409 / Symbol:							
09/08/20	30.000	77.40	09/08/20	78.75	...	-1.35	Sale ²⁵
APPLIED DNA SCIENCES, INC. COMMON STOCK / CUSIP: 03815U300 / Symbol:							
05/18/20	8.000	104.16	05/15/20	93.78	...	10.38	Sale ²⁵
AURORA CANNABIS INC. COMMON SHARES / CUSIP: 05156X884 / Symbol:							
2 transactions for 05/12/20. Total proceeds and cost reported to the IRS.							
	3.922	25.92	04/29/20	37.42	...	-11.50	1 of 2 - Sale ²⁵
	0.078	0.52	04/29/20	0.76	...	-0.24	2 of 2 - Sale ²⁵
05/12/20	4.000	26.44	Various	38.18	...	-11.74	Total of 2 transactions
AVALON GLOBOCARE CORP. COMMON STOCK / CUSIP: 05344R104 / Symbol:							
2 transactions for 08/19/20. Total proceeds and cost reported to the IRS.							
	99.000	169.28	08/19/20	183.94	...	-14.66	1 of 2 - Sale ²⁵
	100.000	201.99	08/19/20	192.00	...	9.99	2 of 2 - Sale ²⁵
08/19/20	199.000	371.27	Various	375.94	...	-4.67	Total of 2 transactions
08/21/20	1.000	1.55	08/19/20	1.86	...	-0.31	Sale ²⁵
	Security total:	372.82		377.80	...	-4.98	
AVINGER, INC. COMMON STOCK / CUSIP: 053734604 / Symbol:							
3 transactions for 07/29/20. Total proceeds and cost reported to the IRS.							
	100.000	41.49	07/01/20	32.00	...	9.49	1 of 3 - Sale ²⁵
	100.000	42.01	07/01/20	32.00	...	10.01	2 of 3 - Sale ²⁵
	100.000	41.49	07/20/20	39.20	...	2.29	3 of 3 - Sale ²⁵
07/29/20	300.000	124.99	Various	103.20	...	21.79	Total of 3 transactions

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AVINGER, INC. COMMON STOCK / CUSIP: 053734604 / Symbol: (cont'd)							
2 transactions for 07/29/20. Total proceeds and cost reported to the IRS.							
	200.000	82.97	07/22/20	83.80	0.83 W	0.00	1 of 2 - Sale ²⁵
	1,000.000	414.86	07/29/20	427.00	6.07 W	-6.07	2 of 2 - Sale ²⁵
07/29/20	1,200.000	497.83	Various	510.80	6.90 W	-6.07	Total of 2 transactions
2 transactions for 08/03/20. Total proceeds and cost reported to the IRS.							
	100.000	51.09	07/29/20	43.41	...	7.68	1 of 2 - Sale ²⁵
	99.000	50.58	07/30/20	41.18	...	9.40	2 of 2 - Sale ²⁵
08/03/20	199.000	101.67	Various	84.59	...	17.08	Total of 2 transactions
5 transactions for 08/19/20. Total proceeds and cost reported to the IRS.							
	1.000	0.72	07/30/20	0.42	...	0.30	1 of 5 - Sale ²⁵
	49.000	35.27	08/03/20	23.09	...	12.18	2 of 5 - Sale ²⁵
	50.000	35.99	08/10/20	28.60	...	7.39	3 of 5 - Sale ²⁵
	100.000	71.99	08/11/20	56.21	...	15.78	4 of 5 - Sale ²⁵
	100.000	71.99	08/11/20	56.21	...	15.78	5 of 5 - Sale ²⁵
08/19/20	300.000	215.96	Various	164.53	...	51.43	Total of 5 transactions
13 transactions for 09/16/20. Total proceeds and cost reported to the IRS.							
	100.000	38.89	08/20/20	50.32	...	-11.43	1 of 13 - Sale ²⁵
	100.000	38.89	08/21/20	46.88	...	-7.99	2 of 13 - Sale ²⁵
	400.000	155.55	09/11/20	184.00	...	-28.45	3 of 13 - Sale ²⁵
	300.000	116.66	09/11/20	140.34	...	-23.68	4 of 13 - Sale ²⁵
	100.000	38.89	09/11/20	39.41	...	-0.52	5 of 13 - Sale ²⁵
	500.000	194.43	09/11/20	187.55	...	6.88	6 of 13 - Sale ²⁵
	3.000	1.17	09/14/20	1.03	...	0.14	7 of 13 - Sale ²⁵
	97.000	37.72	09/14/20	33.22	...	4.50	8 of 13 - Sale ²⁵
	500.000	194.43	09/14/20	165.80	...	28.63	9 of 13 - Sale ²⁵
	99.000	38.50	09/15/20	32.18	...	6.32	10 of 13 - Sale ²⁵
	300.000	116.66	09/15/20	97.53	...	19.13	11 of 13 - Sale ²⁵
	300.000	116.66	09/15/20	97.53	...	19.13	12 of 13 - Sale ²⁵
	300.000	116.66	09/15/20	97.53	...	19.13	13 of 13 - Sale ²⁵
09/16/20	3,099.000	1,205.11	Various	1,173.32	...	31.79	Total of 13 transactions
09/16/20	1.000	0.39	08/20/20	0.48	0.09 W	0.00	Sale ²⁵
09/18/20	1.000	0.35	09/15/20	0.42	...	-0.07	Sale ²⁵
	Security total:	2,146.30		2,037.34	6.99 W	115.95	

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BIOCARDIA, INC. COMMON STOCK / CUSIP: 09060U507 / Symbol:							
06/19/20	20.000	44.20	06/18/20	44.80	0.60 W	0.00	Sale ²⁵
	3 transactions for 08/03/20. Total proceeds and cost reported to the IRS.						
	15.000	37.65	06/23/20	35.84	...	1.81	1 of 3 - Sale ²⁵
	20.000	50.20	06/23/20	48.38	...	1.82	2 of 3 - Sale ²⁵
	65.000	163.14	06/23/20	155.29	...	7.85	3 of 3 - Sale ²⁵
08/03/20	100.000	250.99	Various	239.51	...	11.48	Total of 3 transactions
	Security total:	295.19		284.31	0.60 W	11.48	
BIONANO GENOMICS, INC. COMMON STOCK / CUSIP: 09075F107 / Symbol:							
	4 transactions for 07/17/20. Total proceeds and cost reported to the IRS.						
	200.000	154.58	07/10/20	108.98	...	45.60	1 of 4 - Sale ²⁵
	300.000	231.86	07/10/20	163.47	...	68.39	2 of 4 - Sale ²⁵
	200.000	125.38	07/13/20	103.86	...	21.52	3 of 4 - Sale ²⁵
	300.000	188.06	07/13/20	155.79	...	32.27	4 of 4 - Sale ²⁵
07/17/20	1,000.000	699.88	Various	532.10	...	167.78	Total of 4 transactions
	5 transactions for 08/06/20. Total proceeds and cost reported to the IRS.						
	100.000	86.49	07/17/20	66.00	...	20.49	1 of 5 - Sale ²⁵
	100.000	86.49	07/29/20	76.75	...	9.74	2 of 5 - Sale ²⁵
	200.000	172.97	07/30/20	161.68	...	11.29	3 of 5 - Sale ²⁵
	3.000	2.58	07/31/20	2.33	...	0.25	4 of 5 - Sale ²⁵
	397.000	343.34	07/31/20	308.71	...	34.63	5 of 5 - Sale ²⁵
08/06/20	800.000	691.87	Various	615.47	...	76.40	Total of 5 transactions
	2 transactions for 08/06/20. Total proceeds and cost reported to the IRS.						
	100.000	86.48	07/22/20	100.00	13.52 W	0.00	1 of 2 - Sale ²⁵
	100.000	86.09	07/31/20	91.28	5.19 W	0.00	2 of 2 - Sale ²⁵
08/06/20	200.000	172.57	Various	191.28	18.71 W	0.00	Total of 2 transactions
	11 transactions for 09/17/20. Total proceeds and cost reported to the IRS.						
	100.000	62.27	08/05/20	78.81	...	-16.54	1 of 11 - Sale ²⁵
	100.000	62.27	08/05/20	73.58	...	-11.31	2 of 11 - Sale ²⁵
	300.000	186.80	08/07/20	264.00	...	-77.20	3 of 11 - Sale ²⁵
	99.000	61.64	08/07/20	84.74	...	-23.10	4 of 11 - Sale ²⁵
	1.000	0.62	08/07/20	0.86	...	-0.24	5 of 11 - Sale ²⁵
	188.000	117.06	08/10/20	153.22	...	-36.16	6 of 11 - Sale ²⁵

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BIONANO GENOMICS, INC. COMMON STOCK / CUSIP: 09075F107 / Symbol: (cont'd)							
	12.000	7.47	08/10/20	9.78	...	-2.31	7 of 11 - Sale ²⁵
	200.000	124.54	08/11/20	157.00	...	-32.46	8 of 11 - Sale ²⁵
	90.000	56.04	08/21/20	55.54	...	0.50	9 of 11 - Sale ²⁵
	10.000	6.23	08/28/20	6.00	...	0.23	10 of 11 - Sale ²⁵
	200.000	124.53	09/08/20	100.06	...	24.47	11 of 11 - Sale ²⁵
09/17/20	1,300.000	809.47	Various	983.59	...	-174.12	Total of 11 transactions
	Security total:	2,373.79		2,322.44	18.71 W	70.06	
BOMBARDIER INC. CLASS B SHARES (CANADA) / CUSIP: 097751200 / Symbol:							
5 transactions for 05/20/20. Total proceeds and cost reported to the IRS.							
	100.000	35.96	05/07/20	34.38	...	1.58	1 of 5 - Sale ²⁵
	100.000	35.96	05/07/20	32.00	...	3.96	2 of 5 - Sale ²⁵
	100.000	35.96	05/11/20	31.00	...	4.96	3 of 5 - Sale ²⁵
	200.000	71.91	05/12/20	61.20	...	10.71	4 of 5 - Sale ²⁵
	100.000	35.96	05/14/20	29.44	...	6.52	5 of 5 - Sale ²⁵
05/20/20	600.000	215.75	Various	188.02	...	27.73	Total of 5 transactions
CBL & ASSOC PPTYS INC COMMON S TOCK / CUSIP: 124830100 / Symbol:							
15 transactions for 08/06/20. Total proceeds and cost reported to the IRS.							
	500.000	126.13	07/17/20	100.00	...	26.13	1 of 15 - Sale ²⁵
	500.000	126.14	07/17/20	99.00	...	27.14	2 of 15 - Sale ²⁵
	1,000.000	284.88	07/20/20	190.23	...	94.65	3 of 15 - Sale ²⁵
	10.000	2.94	07/30/20	1.97	...	0.97	4 of 15 - Sale ²⁵
	100.000	29.39	07/30/20	19.65	...	9.74	5 of 15 - Sale ²⁵
	390.000	114.61	07/30/20	76.63	...	37.98	6 of 15 - Sale ²⁵
	6.000	1.76	07/31/20	1.15	...	0.61	7 of 15 - Sale ²⁵
	10.000	2.94	07/31/20	1.91	...	1.03	8 of 15 - Sale ²⁵
	90.000	26.44	07/31/20	17.20	...	9.24	9 of 15 - Sale ²⁵
	94.000	27.62	07/31/20	17.96	...	9.66	10 of 15 - Sale ²⁵
	100.000	29.38	07/31/20	19.11	...	10.27	11 of 15 - Sale ²⁵
	100.000	29.39	07/31/20	19.11	...	10.28	12 of 15 - Sale ²⁵
	100.000	29.39	07/31/20	19.11	...	10.28	13 of 15 - Sale ²⁵
	499.000	150.64	08/03/20	86.83	...	63.81	14 of 15 - Sale ²⁵

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Robinhood Securities LLC

Account 430147538

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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CBL & ASSOC PPTYS INC COMMON S TOCK / CUSIP: 124830100 / Symbol: (cont'd)							
	500.000	154.94	08/03/20	84.00	...	70.94	15 of 15 - Sale ²⁵
08/06/20	3,999.000	1,136.59	Various	753.86	...	382.73	Total of 15 transactions
08/06/20	1,000.000	252.27	07/07/20	253.90	1.63 W	0.00	Sale ²⁵
	3 transactions for 08/19/20. Total proceeds and cost reported to the IRS.						
	1.000	0.23	08/03/20	0.17	...	0.06	1 of 3 - Sale ²⁵
	1,000.000	232.49	08/11/20	219.80	...	12.69	2 of 3 - Sale ²⁵
	199.000	46.26	08/18/20	38.53	...	7.73	3 of 3 - Sale ²⁵
08/19/20	1,200.000	278.98	Various	258.50	...	20.48	Total of 3 transactions
	9 transactions for 09/10/20. Total proceeds and cost reported to the IRS.						
	1.000	0.22	08/18/20	0.19	...	0.03	1 of 9 - Sale ²⁵
	299.000	65.14	08/20/20	59.80	...	5.34	2 of 9 - Sale ²⁵
	301.000	65.58	08/20/20	60.20	...	5.38	3 of 9 - Sale ²⁵
	2.000	0.44	08/21/20	0.43	...	0.01	4 of 9 - Sale ²⁵
	98.000	21.35	08/21/20	19.21	...	2.14	5 of 9 - Sale ²⁵
	99.000	21.56	08/21/20	19.40	...	2.16	6 of 9 - Sale ²⁵
	100.000	21.79	08/21/20	19.60	...	2.19	7 of 9 - Sale ²⁵
	100.000	21.79	08/21/20	19.60	...	2.19	8 of 9 - Sale ²⁵
	100.000	21.79	08/21/20	19.60	...	2.19	9 of 9 - Sale ²⁵
09/10/20	1,100.000	239.66	Various	218.03	...	21.63	Total of 9 transactions
	5 transactions for 09/10/20. Total proceeds and cost reported to the IRS.						
	100.000	21.79	08/19/20	25.86	4.07 W	0.00	1 of 5 - Sale ²⁵
	100.000	21.79	08/19/20	25.86	4.07 W	0.00	2 of 5 - Sale ²⁵
	98.000	21.35	08/20/20	23.59	2.24 W	0.00	3 of 5 - Sale ²⁵
	100.000	21.79	08/20/20	24.07	2.28 W	0.00	4 of 5 - Sale ²⁵
	2.000	0.44	08/20/20	0.48	0.04 W	0.00	5 of 5 - Sale ²⁵
09/10/20	400.000	87.16	Various	99.86	12.70 W	0.00	Total of 5 transactions
09/14/20	1.000	0.18	08/21/20	0.22	0.04 W	0.00	Sale ²⁵
	6 transactions for 09/17/20. Total proceeds and cost reported to the IRS.						
	97.000	18.41	09/15/20	19.10	...	-0.69	1 of 6 - Sale ²⁵
	98.000	18.60	09/15/20	19.29	...	-0.69	2 of 6 - Sale ²⁵
	1.000	0.19	09/15/20	0.21	...	-0.02	3 of 6 - Sale ²⁵
	2.000	0.38	09/15/20	0.39	...	-0.01	4 of 6 - Sale ²⁵
	428.000	81.23	09/15/20	74.47	...	6.76	5 of 6 - Sale ²⁵

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Account 430147538

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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CBL & ASSOC PPTYS INC COMMON S TOCK / CUSIP: 124830100 / Symbol: (cont'd)							
	1,374.000	260.76	09/15/20	239.08	...	21.68	6 of 6 - Sale ²⁵
09/17/20	2,000.000	379.57	Various	352.54	...	27.03	Total of 6 transactions
	Security total:	2,374.41		1,936.91	14.37 W	451.87	
CHF SOLUTIONS, INC. COMMON STO CK / CUSIP: 12542Q706 / Symbol:							
2 transactions for 07/21/20. Total proceeds and cost reported to the IRS.							
	100.000	74.99	06/08/20	51.47	...	23.52	1 of 2 - Sale ²⁵
	100.000	74.99	06/11/20	41.99	...	33.00	2 of 2 - Sale ²⁵
07/21/20	200.000	149.98	Various	93.46	...	56.52	Total of 2 transactions
2 transactions for 08/04/20. Total proceeds and cost reported to the IRS.							
	100.000	118.99	06/11/20	41.60	...	77.39	1 of 2 - Sale ²⁵
	24.000	28.56	07/31/20	21.01	...	7.55	2 of 2 - Sale ²⁵
08/04/20	124.000	147.55	Various	62.61	...	84.94	Total of 2 transactions
4 transactions for 08/19/20. Total proceeds and cost reported to the IRS.							
	1.000	0.50	07/31/20	0.88	0.38 W	0.00	1 of 4 - Sale ²⁵
	49.000	24.74	08/05/20	45.06	20.32 W	0.00	2 of 4 - Sale ²⁵
	50.000	25.25	08/06/20	38.75	13.50 W	0.00	3 of 4 - Sale ²⁵
	100.000	50.49	08/11/20	66.44	15.95 W	0.00	4 of 4 - Sale ²⁵
08/19/20	200.000	100.98	Various	151.13	50.15 W	0.00	Total of 4 transactions
2 transactions for 09/10/20. Total proceeds and cost reported to the IRS.							
	30.000	10.29	08/27/20	9.60	...	0.69	1 of 2 - Sale ²⁵
	600.000	205.85	09/09/20	191.94	...	13.91	2 of 2 - Sale ²⁵
09/10/20	630.000	216.14	Various	201.54	...	14.60	Total of 2 transactions
6 transactions for 09/10/20. Total proceeds and cost reported to the IRS.							
	1.000	0.34	08/24/20	0.75	0.41 W	0.00	1 of 6 - Sale ²⁵
	49.000	16.81	08/24/20	38.62	21.81 W	0.00	2 of 6 - Sale ²⁵
	50.000	17.15	08/24/20	32.18	15.03 W	0.00	3 of 6 - Sale ²⁵
	100.000	34.31	08/24/20	53.30	18.99 W	0.00	4 of 6 - Sale ²⁵
	70.000	24.02	08/24/20	25.91	1.89 W	0.00	5 of 6 - Sale ²⁵
	100.000	34.31	08/24/20	36.00	1.69 W	0.00	6 of 6 - Sale ²⁵
09/10/20	370.000	126.94	Various	186.76	59.82 W	0.00	Total of 6 transactions

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Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

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CHF SOLUTIONS, INC. COMMON STO CK / CUSIP: 12542Q706 / Symbol: (cont'd)							
8 transactions for 10/01/20. Total proceeds and cost reported to the IRS.							
	49.000	17.75	09/17/20	37.71	...	-19.96	1 of 8 - Sale ²⁵
	100.000	36.23	09/17/20	51.44	...	-15.21	2 of 8 - Sale ²⁵
	50.000	18.12	09/17/20	31.26	...	-13.14	3 of 8 - Sale ²⁵
	1.000	0.36	09/17/20	0.73	...	-0.37	4 of 8 - Sale ²⁵
	70.000	25.36	09/17/20	24.61	...	0.75	5 of 8 - Sale ²⁵
	100.000	36.23	09/17/20	34.14	...	2.09	6 of 8 - Sale ²⁵
	130.000	47.10	09/17/20	42.18	...	4.92	7 of 8 - Sale ²⁵
	100.000	36.23	09/22/20	32.64	...	3.59	8 of 8 - Sale ²⁵
10/01/20	600.000	217.38	Various	254.71	...	-37.33	Total of 8 transactions
	Security total:	958.97		950.21	109.97 W	118.73	
CALLON PETROLEUM COMPANY / CUSIP: 13123X102 / Symbol:							
2 transactions for 04/29/20. Total proceeds and cost reported to the IRS.							
	1.000	0.66	04/27/20	0.52	...	0.14	1 of 2 - Sale ²⁵
	100.000	65.99	04/27/20	52.69	...	13.30	2 of 2 - Sale ²⁵
04/29/20	101.000	66.65	Various	53.21	...	13.44	Total of 2 transactions
CEDAR REALTY TRUST, INC / CUSIP: 150602209 / Symbol:							
8 transactions for 08/11/20. Total proceeds and cost reported to the IRS.							
	100.000	100.00	07/07/20	97.07	...	2.93	1 of 8 - Sale ²⁵
	100.000	100.00	07/07/20	97.07	...	2.93	2 of 8 - Sale ²⁵
	100.000	99.99	07/13/20	92.90	...	7.09	3 of 8 - Sale ²⁵
	500.000	499.98	07/15/20	466.80	...	33.18	4 of 8 - Sale ²⁵
	200.000	199.99	07/16/20	187.48	...	12.51	5 of 8 - Sale ²⁵
	200.000	199.99	07/29/20	162.68	...	37.31	6 of 8 - Sale ²⁵
	200.000	199.99	07/30/20	167.52	...	32.47	7 of 8 - Sale ²⁵
	100.000	99.99	08/07/20	89.07	...	10.92	8 of 8 - Sale ²⁵
08/11/20	1,500.000	1,499.93	Various	1,360.59	...	139.34	Total of 8 transactions
6 transactions for 09/15/20. Total proceeds and cost reported to the IRS.							
	5.000	4.44	08/25/20	4.34	...	0.10	1 of 6 - Sale ²⁵
	1.000	0.89	09/10/20	0.84	...	0.05	2 of 6 - Sale ²⁵
	1.000	0.88	09/10/20	0.83	...	0.05	3 of 6 - Sale ²⁵

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(continued)

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CEDAR REALTY TRUST, INC / CUSIP: 150602209 / Symbol: (cont'd)							
	4.000	3.55	09/10/20	3.49	...	0.06	4 of 6 - Sale ²⁵
	95.000	84.39	09/10/20	82.81	...	1.58	5 of 6 - Sale ²⁵
	99.000	87.94	09/10/20	82.17	...	5.77	6 of 6 - Sale ²⁵
09/15/20	205.000	182.09	Various	174.48	...	7.61	Total of 6 transactions
	5 transactions for 09/15/20. Total proceeds and cost reported to the IRS.						
	100.000	88.83	08/07/20	89.07	0.24 W	0.00	1 of 5 - Sale ²⁵
	100.000	88.83	08/18/20	88.94	0.11 W	0.00	2 of 5 - Sale ²⁵
	5.000	4.44	08/19/20	4.65	0.21 W	0.00	3 of 5 - Sale ²⁵
	95.000	84.39	08/19/20	88.35	3.96 W	0.00	4 of 5 - Sale ²⁵
	1.000	0.89	08/25/20	0.90	0.01 W	0.00	5 of 5 - Sale ²⁵
09/15/20	301.000	267.38	Various	271.91	4.53 W	0.00	Total of 5 transactions
	10 transactions for 10/05/20. Total proceeds and cost reported to the IRS.						
	100.000	84.02	09/17/20	81.52	...	2.50	1 of 10 - Sale ²⁵
	100.000	84.01	09/17/20	81.35	...	2.66	2 of 10 - Sale ²⁵
	100.000	84.01	09/17/20	81.35	...	2.66	3 of 10 - Sale ²⁵
	100.000	84.02	09/17/20	81.35	...	2.67	4 of 10 - Sale ²⁵
	100.000	84.02	09/17/20	81.35	...	2.67	5 of 10 - Sale ²⁵
	100.000	84.02	09/17/20	81.35	...	2.67	6 of 10 - Sale ²⁵
	400.000	336.06	09/17/20	326.24	...	9.82	7 of 10 - Sale ²⁵
	1,000.000	840.16	09/17/20	821.30	...	18.86	8 of 10 - Sale ²⁵
	100.000	84.01	09/21/20	77.05	...	6.96	9 of 10 - Sale ²⁵
	100.000	84.02	09/21/20	77.05	...	6.97	10 of 10 - Sale ²⁵
10/05/20	2,200.000	1,848.35	Various	1,789.91	...	58.44	Total of 10 transactions
	Security total:	3,797.75		3,596.89	4.53 W	205.39	
CELLECTAR BIOSCIENCES, INC. C OMMON STOCK / CUSIP: 15117F500 / Symbol:							
	2 transactions for 10/26/20. Total proceeds and cost reported to the IRS.						
	1.000	1.15	07/30/20	1.53	0.38 W	0.00	1 of 2 - Sale ²⁵
	99.000	113.84	07/30/20	161.87	48.03 W	0.00	2 of 2 - Sale ²⁵
10/26/20	100.000	114.99	Various	163.40	48.41 W	0.00	Total of 2 transactions
	14 transactions for 10/30/20. Total proceeds and cost reported to the IRS.						
	90.000	103.49	07/30/20	143.09	...	-39.60	1 of 14 - Sale ²⁵
	10.000	11.50	07/30/20	15.90	...	-4.40	2 of 14 - Sale ²⁵

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CELLECTAR BIOSCIENCES, INC. C OMMON STOCK / CUSIP: 15117F500 / Symbol: (cont'd)							
	50.000	57.49	08/04/20	70.44	...	-12.95	3 of 14 - Sale ²⁵
	200.000	229.97	08/05/20	286.00	...	-56.03	4 of 14 - Sale ²⁵
	50.000	57.49	08/05/20	71.00	...	-13.51	5 of 14 - Sale ²⁵
	50.000	57.49	08/06/20	69.50	...	-12.01	6 of 14 - Sale ²⁵
	30.000	34.50	08/06/20	41.70	...	-7.20	7 of 14 - Sale ²⁵
	15.000	17.25	08/06/20	20.85	...	-3.60	8 of 14 - Sale ²⁵
	5.000	5.75	08/06/20	6.95	...	-1.20	9 of 14 - Sale ²⁵
	100.000	114.98	08/10/20	140.90	...	-25.92	10 of 14 - Sale ²⁵
	5.000	5.75	09/02/20	5.55	...	0.20	11 of 14 - Sale ²⁵
	200.000	229.97	09/17/20	241.98	...	-12.01	12 of 14 - Sale ²⁵
	99.000	113.83	10/21/20	166.55	...	-52.72	13 of 14 - Sale ²⁵
	1.000	1.15	10/21/20	1.58	...	-0.43	14 of 14 - Sale ²⁵
10/30/20	905.000	1,040.61	Various	1,281.99	...	-241.38	Total of 14 transactions
	Security total:	1,155.60		1,445.39	48.41 W	-241.38	
CHESAPEAKE ENERGY CORP COMMON STOCK / CUSIP: 165167743 / Symbol:							
2 transactions for 05/11/20. Total proceeds and cost reported to the IRS.							
	10.000	129.20	04/29/20	255.00	...	-125.80	1 of 2 - Sale ²⁵
	2.000	25.84	04/30/20	34.01	...	-8.17	2 of 2 - Sale ²⁵
05/11/20	12.000	155.04	Various	289.01	...	-133.97	Total of 2 transactions
CIELO SA SPONSORED ADR (BRAZIL) / CUSIP: 171778202 / Symbol:							
2 transactions for 04/27/20. Total proceeds and cost reported to the IRS.							
	100.000	69.99	04/24/20	71.00	...	-1.01	1 of 2 - Sale ²⁵
	8.000	5.60	04/24/20	5.44	...	0.16	2 of 2 - Sale ²⁵
04/27/20	108.000	75.59	Various	76.44	...	-0.85	Total of 2 transactions
CONFORMIS, INC. COMMON STOCK / CUSIP: 20717E101 / Symbol:							
7 transactions for 09/09/20. Total proceeds and cost reported to the IRS.							
	96.000	70.07	08/14/20	76.88	...	-6.81	1 of 7 - Sale ²⁵
	104.000	75.91	08/14/20	73.62	...	2.29	2 of 7 - Sale ²⁵
	4.000	2.92	08/20/20	2.93	...	-0.01	3 of 7 - Sale ²⁵
	4.000	2.92	08/20/20	2.75	...	0.17	4 of 7 - Sale ²⁵
	96.000	70.06	08/20/20	66.25	...	3.81	5 of 7 - Sale ²⁵

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Robinhood Securities LLC

Account 430147538

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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CONFORMIS, INC. COMMON STOCK / CUSIP: 20717E101 / Symbol: (cont'd)							
	96.000	70.07	08/20/20	66.06	...	4.01	6 of 7 - Sale ²⁵
	100.000	72.99	08/20/20	68.81	...	4.18	7 of 7 - Sale ²⁵
09/09/20	500.000	364.94	Various	357.30	...	7.64	Total of 7 transactions
	3 transactions for 09/09/20. Total proceeds and cost reported to the IRS.						
	100.000	72.99	06/24/20	82.28	9.29 W	0.00	1 of 3 - Sale ²⁵
	200.000	145.97	07/22/20	156.00	4.81 W	-5.22	2 of 3 - Sale ²⁵
	200.000	145.98	07/22/20	155.60	9.62 W	0.00	3 of 3 - Sale ²⁵
09/09/20	500.000	364.94	Various	393.88	23.72 W	-5.22	Total of 3 transactions
	Security total:	729.88		751.18	23.72 W	2.42	
DENBURY RESOURCES, INC. / CUSIP: 247916208 / Symbol:							
	2 transactions for 04/29/20. Total proceeds and cost reported to the IRS.						
	50.000	16.22	04/27/20	16.41	...	-0.19	1 of 2 - Sale ²⁵
	50.000	16.21	04/27/20	13.35	...	2.86	2 of 2 - Sale ²⁵
04/29/20	100.000	32.43	Various	29.76	...	2.67	Total of 2 transactions
04/29/20	50.000	16.21	04/24/20	19.28	3.07 W	0.00	Sale ²⁵
05/11/20	1.000	0.29	05/01/20	0.30	...	-0.01	Sale ²⁵
	Security total:	48.93		49.34	3.07 W	2.66	
DESTINATION XL GROUP INC COMMO N STOCK / CUSIP: 25065K104 / Symbol:							
	2 transactions for 08/19/20. Total proceeds and cost reported to the IRS.						
	500.000	135.49	08/17/20	147.55	...	-12.06	1 of 2 - Sale ²⁵
	100.000	27.10	08/18/20	27.00	...	0.10	2 of 2 - Sale ²⁵
08/19/20	600.000	162.59	Various	174.55	...	-11.96	Total of 2 transactions
11/20/20	1,000.000	321.58	11/20/20	314.90	...	6.68	Sale ²⁵
12/22/20	1,000.000	215.38	12/17/20	238.00	...	-22.62	Sale ²⁵
	Security total:	699.55		727.45	...	-27.90	

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EMBRAER S.A. / CUSIP: 29082A107 / Symbol:							
3 transactions for 05/27/20. Total proceeds and cost reported to the IRS.							
	30.000	155.70	05/05/20	163.05	...	-7.35	1 of 3 - Sale ²⁵
	30.000	155.69	05/07/20	145.79	...	9.90	2 of 3 - Sale ²⁵
	20.000	103.80	05/11/20	99.60	...	4.20	3 of 3 - Sale ²⁵
05/27/20	80.000	415.19	Various	408.44	...	6.75	Total of 3 transactions
EMMIS COMMUNICATIONS CORP COM NEW CL A COMMON STOCK / CUSIP: 291525400 / Symbol:							
04/29/20	3.000	4.11	04/28/20	3.93	...	0.18	Sale ²⁵
FORD MOTOR COMPANY / CUSIP: 345370860 / Symbol:							
2 transactions for 05/18/20. Total proceeds and cost reported to the IRS.							
	10.000	52.70	04/30/20	51.00	...	1.70	1 of 2 - Sale ²⁵
	10.000	52.70	05/13/20	47.37	...	5.33	2 of 2 - Sale ²⁵
05/18/20	20.000	105.40	Various	98.37	...	7.03	Total of 2 transactions
FORESIGHT AUTONOMOUS HOLDINGS LTD. AMERICAN DEPOSITARY SHARE S / CUSIP: 345523104 / Symbol:							
2 transactions for 06/19/20. Total proceeds and cost reported to the IRS.							
	50.000	62.50	06/05/20	69.00	...	-6.50	1 of 2 - Sale ²⁵
	50.000	62.49	06/05/20	56.31	...	6.18	2 of 2 - Sale ²⁵
06/19/20	100.000	124.99	Various	125.31	...	-0.32	Total of 2 transactions
FORUM ENERGY TECHNOLOGIES, INC. / CUSIP: 34984V100 / Symbol:							
05/19/20	1.000	0.35	05/18/20	0.36	0.01 W	0.00	Sale ²⁵
2 transactions for 06/05/20. Total proceeds and cost reported to the IRS.							
	1.000	0.50	06/05/20	0.42	...	0.08	1 of 2 - Sale ²⁵
	199.000	98.54	06/05/20	82.17	...	16.37	2 of 2 - Sale ²⁵
06/05/20	200.000	99.04	Various	82.59	...	16.45	Total of 2 transactions
	Security total:	99.39		82.95	0.01 W	16.45	
GENERAL ELECTRIC COMPANY / CUSIP: 369604103 / Symbol:							
04/29/20	10.000	67.75	04/29/20	66.28	...	1.47	Sale ²⁵
8 transactions for 05/18/20. Total proceeds and cost reported to the IRS.							
	20.000	126.06	05/01/20	128.60	...	-2.54	1 of 8 - Sale ²⁵
	9.000	56.73	05/01/20	58.68	...	-1.95	2 of 8 - Sale ²⁵

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GENERAL ELECTRIC COMPANY / CUSIP: 369604103 / Symbol: (cont'd)							
	0.100	0.63	05/04/20	0.62	...	0.01	3 of 8 - Sale ²⁵
	0.900	5.67	05/04/20	5.58	...	0.09	4 of 8 - Sale ²⁵
	6.000	37.82	05/04/20	37.12	...	0.70	5 of 8 - Sale ²⁵
	4.000	25.21	05/13/20	22.00	...	3.21	6 of 8 - Sale ²⁵
	10.000	63.03	05/15/20	55.37	...	7.66	7 of 8 - Sale ²⁵
	10.000	63.03	05/15/20	55.00	...	8.03	8 of 8 - Sale ²⁵
05/18/20	60.000	378.18	Various	362.97	...	15.21	Total of 8 transactions
	Security total:	445.93		429.25	...	16.68	
GEVO, INC. COMMON STOCK / CUSIP: 374396406 / Symbol:							
08/19/20	100.000	54.59	08/13/20	59.00	...	-4.41	Sale ²⁵
HECLA MINING COMPANY / CUSIP: 422704106 / Symbol:							
06/11/20	1.000	3.36	06/05/20	3.28	...	0.08	Sale ²⁵
HERTZ GLOBAL HOLDINGS, INC. CO MMON STOCK / CUSIP: 42806J106 / Symbol:							
2 transactions for 05/08/20. Total proceeds and cost reported to the IRS.							
	45.000	151.64	05/01/20	158.85	...	-7.21	1 of 2 - Sale ²⁵
	9.000	30.33	05/04/20	24.57	...	5.76	2 of 2 - Sale ²⁵
05/08/20	54.000	181.97	Various	183.42	...	-1.45	Total of 2 transactions
05/08/20	1.000	3.37	05/01/20	3.50	0.13 W	0.00	Sale ²⁵
05/11/20	1.000	3.11	05/04/20	2.86	...	0.25	Sale ²⁵
	Security total:	188.45		189.78	0.13 W	-1.20	
HEXINDAI INC. ADR / CUSIP: 428295109 / Symbol:							
08/19/20	9.000	7.79	08/13/20	20.34	...	-12.55	Sale ²⁵
IMMUNIC, INC. COMMON STOCK / CUSIP: 4525EP101 / Symbol:							
2 transactions for 06/17/20. Total proceeds and cost reported to the IRS.							
	10.000	132.00	06/04/20	122.30	...	9.70	1 of 2 - Sale ²⁵
	6.000	79.20	06/11/20	63.96	...	15.24	2 of 2 - Sale ²⁵
06/17/20	16.000	211.20	Various	186.26	...	24.94	Total of 2 transactions
2 transactions for 06/18/20. Total proceeds and cost reported to the IRS.							
	1.000	13.44	06/11/20	10.66	...	2.78	1 of 2 - Sale ²⁵

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IMMUNIC, INC. COMMON STOCK / CUSIP: 4525EP101 / Symbol: (cont'd)							
	3.000	40.32	06/11/20	31.98	...	8.34	2 of 2 - Sale ²⁵
06/18/20	4.000	53.76	Various	42.64	...	11.12	Total of 2 transactions
	Security total:	264.96		228.90	...	36.06	
INDIA GLOBALIZATION CAPITAL, I NC. / CUSIP: 45408X308 / Symbol:							
08/12/20	49.000	95.31	08/12/20	67.13	...	28.18	Sale ²⁵
08/14/20	1.000	1.73	08/12/20	1.37	...	0.36	Sale ²⁵
	Security total:	97.04		68.50	...	28.54	
INOVIO PHARMACEUTICALS, INC. C OMMON STOCK / CUSIP: 45773H201 / Symbol:							
2 transactions for 06/15/20. Total proceeds and cost reported to the IRS.							
	1.000	13.77	06/09/20	12.90	...	0.87	1 of 2 - Sale ²⁵
	9.000	125.84	06/09/20	116.08	...	9.76	2 of 2 - Sale ²⁵
06/15/20	10.000	139.61	Various	128.98	...	10.63	Total of 2 transactions
INVESCO MORTGAGE CAPITAL INC. / CUSIP: 46131B100 / Symbol:							
08/11/20	99.590	351.82	07/07/20	314.47	...	37.35	Sale ²⁵
08/11/20	100.000	353.27	06/24/20	374.50	21.23 W	0.00	Sale ²⁵
10 transactions for 08/24/20. Total proceeds and cost reported to the IRS.							
	6.959	21.15	08/12/20	23.30	...	-2.15	1 of 10 - Sale ²⁵
	2.041	6.16	08/12/20	6.84	...	-0.68	2 of 10 - Sale ²⁵
	36.000	109.44	08/20/20	116.36	...	-6.92	3 of 10 - Sale ²⁵
	32.852	99.88	08/20/20	106.19	...	-6.31	4 of 10 - Sale ²⁵
	20.000	60.80	08/20/20	64.65	...	-3.85	5 of 10 - Sale ²⁵
	1.000	3.04	08/20/20	3.23	...	-0.19	6 of 10 - Sale ²⁵
	0.189	0.57	08/20/20	0.67	...	-0.10	7 of 10 - Sale ²⁵
	0.549	1.69	08/20/20	1.77	...	-0.08	8 of 10 - Sale ²⁵
	0.050	0.15	08/20/20	0.16	...	-0.01	9 of 10 - Sale ²⁵
	0.360	1.12	08/20/20	1.13	...	-0.01	10 of 10 - Sale ²⁵
08/24/20	100.000	304.00	Various	324.30	...	-20.30	Total of 10 transactions
3 transactions for 08/24/20. Total proceeds and cost reported to the IRS.							
	0.050	0.15	07/07/20	0.16	0.01 W	0.00	1 of 3 - Sale ²⁵
	0.360	1.09	07/07/20	1.13	0.04 W	0.00	2 of 3 - Sale ²⁵

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INVESCO MORTGAGE CAPITAL INC. / CUSIP: 46131B100 / Symbol: (cont'd)							
	0.599	1.81	07/29/20	2.13	0.10 W	-0.22	3 of 3 - Sale ²⁵
08/24/20	1.009	3.05	Various	3.42	0.15 W	-0.22	Total of 3 transactions
	Security total:	1,012.14		1,016.69	21.38 W	16.83	
KITOV PHARMA LTD. AMERICAN DEP OSITARY SHARES / CUSIP: 49803V107 / Symbol:							
06/23/20	100.000	114.99	06/22/20	70.24	...	44.75	Sale ²⁵
LM FUNDING AMERICA, INC. COMMO N STOCK / CUSIP: 502074305 / Symbol:							
08/19/20	100.000	71.49	08/12/20	147.00	...	-75.51	Sale ²⁵
LUCKIN COFFEE INC AMERICAN DEP OSITARY SHARES - SPONSORED / CUSIP: 54951L109 / Symbol:							
06/04/20	10.000	30.30	05/20/20	29.70	...	0.60	Sale ²⁵
MENLO THERAPEUTICS INC. COMMON STOCK / CUSIP: 586858102 / Symbol:							
	3 transactions for 06/16/20. Total proceeds and cost reported to the IRS.						
	100.000	227.98	06/05/20	194.00	...	33.98	1 of 3 - Sale ²⁵
	100.000	227.98	06/08/20	207.00	...	20.98	2 of 3 - Sale ²⁵
	100.000	227.98	06/11/20	195.00	...	32.98	3 of 3 - Sale ²⁵
06/16/20	300.000	683.94	Various	596.00	...	87.94	Total of 3 transactions
	2 transactions for 07/17/20. Total proceeds and cost reported to the IRS.						
	100.000	176.98	06/30/20	169.50	...	7.48	1 of 2 - Sale ²⁵
	100.000	176.98	07/14/20	154.77	...	22.21	2 of 2 - Sale ²⁵
07/17/20	200.000	353.96	Various	324.27	...	29.69	Total of 2 transactions
07/17/20	100.000	176.98	06/24/20	197.50	20.52 W	0.00	Sale ²⁵
	Security total:	1,214.88		1,117.77	20.52 W	117.63	
MESOBLAST LIMITED AMERICAN DEP OSITARY SHARES / CUSIP: 590717104 / Symbol:							
08/17/20	10.000	199.90	08/14/20	182.50	...	17.40	Sale ²⁵
MINERVA NEUROSCIENCES, INC COM MON STOCK / CUSIP: 603380106 / Symbol:							
	10 transactions for 10/30/20. Total proceeds and cost reported to the IRS.						
	50.000	156.55	06/01/20	237.31	...	-80.76	1 of 10 - Sale ²⁵
	50.000	156.55	06/02/20	194.49	...	-37.94	2 of 10 - Sale ²⁵
	10.000	31.31	06/08/20	39.50	...	-8.19	3 of 10 - Sale ²⁵
	20.000	62.62	06/11/20	66.35	...	-3.73	4 of 10 - Sale ²⁵

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MINERVA NEUROSCIENCES, INC COM MON STOCK / CUSIP: 603380106 / Symbol: (cont'd)							
	52.000	162.81	06/24/20	180.96	...	-18.15	5 of 10 - Sale ²⁵
	11.000	34.44	06/24/20	38.28	...	-3.84	6 of 10 - Sale ²⁵
	7.000	21.92	06/24/20	24.36	...	-2.44	7 of 10 - Sale ²⁵
	100.000	313.10	07/31/20	353.99	...	-40.89	8 of 10 - Sale ²⁵
	100.000	313.10	08/13/20	340.00	...	-26.90	9 of 10 - Sale ²⁵
	100.000	313.10	10/21/20	320.87	...	-7.77	10 of 10 - Sale ²⁵
10/30/20	500.000	1,565.50	Various	1,796.11	...	-230.61	Total of 10 transactions
MIRAGEN THERAPEUTICS, INC. COM MON STOCK / CUSIP: 60463E103 / Symbol:							
2 transactions for 06/16/20. Total proceeds and cost reported to the IRS.							
	200.000	225.97	06/08/20	175.18	...	50.79	1 of 2 - Sale ²⁵
	100.000	112.99	06/11/20	91.49	...	21.50	2 of 2 - Sale ²⁵
06/16/20	300.000	338.96	Various	266.67	...	72.29	Total of 2 transactions
06/19/20	100.000	127.21	06/16/20	124.00	...	3.21	Sale ²⁵
	Security total:	466.17		390.67	...	75.50	
NEWPARK RESOURCES, INC. / CUSIP: 651718504 / Symbol:							
04/29/20	50.000	57.50	04/24/20	50.50	...	7.00	Sale ²⁵
NIKOLA CORPORATION COMMON STOC K / CUSIP: 654110105 / Symbol:							
06/09/20	2.000	147.28	06/05/20	70.40	...	76.88	Sale ²⁵
06/11/20	3.000	197.73	06/05/20	105.60	...	92.13	Sale ²⁵
	Security total:	345.01		176.00	...	169.01	
NOKIA CORPORATION / CUSIP: 654902204 / Symbol:							
6 transactions for 05/18/20. Total proceeds and cost reported to the IRS.							
	20.000	73.25	04/24/20	68.00	...	5.25	1 of 6 - Sale ²⁵
	4.000	14.65	04/28/20	13.76	...	0.89	2 of 6 - Sale ²⁵
	8.000	29.30	04/28/20	27.84	...	1.46	3 of 6 - Sale ²⁵
	60.000	219.74	04/28/20	208.80	...	10.94	4 of 6 - Sale ²⁵
	8.000	29.30	05/01/20	28.72	...	0.58	5 of 6 - Sale ²⁵
	100.000	366.24	05/01/20	353.00	...	13.24	6 of 6 - Sale ²⁵
05/18/20	200.000	732.48	Various	700.12	...	32.36	Total of 6 transactions

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NOKIA CORPORATION / CUSIP: 654902204 / Symbol: (cont'd)							
2 transactions for 08/04/20. Total proceeds and cost reported to the IRS.							
	100.000	508.97	06/24/20	418.70	...	90.27	1 of 2 - Sale ²⁵
08/04/20	99.000	503.88	07/30/20	414.81	...	89.07	2 of 2 - Sale ²⁵
	199.000	1,012.85	Various	833.51	...	179.34	Total of 2 transactions
13 transactions for 10/29/20. Total proceeds and cost reported to the IRS.							
	99.000	330.14	08/31/20	485.10	...	-154.96	1 of 13 - Sale ²⁵
	50.000	166.74	09/16/20	207.00	...	-40.26	2 of 13 - Sale ²⁵
	41.000	136.73	09/16/20	169.74	...	-33.01	3 of 13 - Sale ²⁵
	5.000	16.67	09/16/20	20.70	...	-4.03	4 of 13 - Sale ²⁵
	4.000	13.34	09/16/20	16.56	...	-3.22	5 of 13 - Sale ²⁵
	100.000	333.48	09/17/20	409.00	...	-75.52	6 of 13 - Sale ²⁵
	100.000	333.47	09/17/20	408.80	...	-75.33	7 of 13 - Sale ²⁵
	44.000	146.74	10/07/20	240.77	...	-94.03	8 of 13 - Sale ²⁵
	25.000	83.37	10/07/20	136.81	...	-53.44	9 of 13 - Sale ²⁵
	18.000	60.03	10/07/20	98.50	...	-38.47	10 of 13 - Sale ²⁵
	11.000	36.68	10/07/20	60.19	...	-23.51	11 of 13 - Sale ²⁵
	1.000	3.34	10/07/20	5.47	...	-2.13	12 of 13 - Sale ²⁵
	1.000	3.33	10/07/20	4.73	...	-1.40	13 of 13 - Sale ²⁵
10/29/20	499.000	1,664.06	Various	2,263.37	...	-599.31	Total of 13 transactions
3 transactions for 10/29/20. Total proceeds and cost reported to the IRS.							
	1.000	3.33	07/30/20	4.19	0.86 W	0.00	1 of 3 - Sale ²⁵
	45.000	150.07	08/11/20	222.16	70.49 W	-1.60	2 of 3 - Sale ²⁵
	55.000	183.42	08/11/20	271.54	88.12 W	0.00	3 of 3 - Sale ²⁵
10/29/20	101.000	336.82	Various	497.89	159.47 W	-1.60	Total of 3 transactions
	Security total:	3,746.21		4,294.89	159.47 W	-389.21	
NORTHERN OIL AND GAS, INC. COM MON STOCK / CUSIP: 665531109 / Symbol:							
2 transactions for 06/05/20. Total proceeds and cost reported to the IRS.							
	500.000	462.58	06/03/20	380.00	...	82.58	1 of 2 - Sale ²⁵
06/05/20	500.000	462.58	06/03/20	380.00	...	82.58	2 of 2 - Sale ²⁵
	1,000.000	925.16	Various	760.00	...	165.16	Total of 2 transactions

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Robinhood Securities LLC

Account 430147538

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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OASIS PETROLEUM INC. COMMON STOCK / CUSIP: 674215108 / Symbol:							
3 transactions for 04/29/20. Total proceeds and cost reported to the IRS.							
	20.000	13.00	04/24/20	12.18	...	0.82	1 of 3 - Sale ²⁵
	60.000	38.99	04/27/20	31.92	...	7.07	2 of 3 - Sale ²⁵
	75.000	46.90	04/29/20	45.67	...	1.23	3 of 3 - Sale ²⁵
04/29/20	155.000	98.89	Various	89.77	...	9.12	Total of 3 transactions
2 transactions for 04/29/20. Total proceeds and cost reported to the IRS.							
	25.000	16.25	04/24/20	19.21	2.96 W	0.00	1 of 2 - Sale ²⁵
	25.000	15.63	04/29/20	18.19	2.56 W	0.00	2 of 2 - Sale ²⁵
04/29/20	50.000	31.88	Various	37.40	5.52 W	0.00	Total of 2 transactions
4 transactions for 06/05/20. Total proceeds and cost reported to the IRS.							
	100.000	99.45	04/29/20	60.90	...	38.55	1 of 4 - Sale ²⁵
	25.000	24.86	05/01/20	18.06	...	6.80	2 of 4 - Sale ²⁵
	75.000	74.59	05/01/20	46.48	...	28.11	3 of 4 - Sale ²⁵
	300.000	298.34	05/27/20	152.45	...	145.89	4 of 4 - Sale ²⁵
06/05/20	500.000	497.24	Various	277.89	...	219.35	Total of 4 transactions
2 transactions for 08/05/20. Total proceeds and cost reported to the IRS.							
	100.000	87.79	07/31/20	65.73	...	22.06	1 of 2 - Sale ²⁵
	399.000	350.27	07/31/20	262.06	...	88.21	2 of 2 - Sale ²⁵
08/05/20	499.000	438.06	Various	327.79	...	110.27	Total of 2 transactions
2 transactions for 08/11/20. Total proceeds and cost reported to the IRS.							
	1.000	0.76	07/31/20	0.66	...	0.10	1 of 2 - Sale ²⁵
	9.000	6.85	08/06/20	6.42	...	0.43	2 of 2 - Sale ²⁵
08/11/20	10.000	7.61	Various	7.08	...	0.53	Total of 2 transactions
14 transactions for 08/11/20. Total proceeds and cost reported to the IRS.							
	90.000	68.55	08/11/20	69.72	1.17 W	0.00	1 of 14 - Sale ²⁵
	10.000	7.61	08/11/20	7.75	0.14 W	0.00	2 of 14 - Sale ²⁵
	90.000	68.53	08/11/20	70.90	2.37 W	0.00	3 of 14 - Sale ²⁵
	10.000	7.61	08/11/20	7.89	0.28 W	0.00	4 of 14 - Sale ²⁵
	90.000	68.53	08/11/20	72.10	3.57 W	0.00	5 of 14 - Sale ²⁵
	10.000	7.61	08/11/20	8.03	0.42 W	0.00	6 of 14 - Sale ²⁵
	90.000	68.52	08/11/20	73.30	4.78 W	0.00	7 of 14 - Sale ²⁵
	10.000	7.61	08/11/20	7.75	0.14 W	0.00	8 of 14 - Sale ²⁵

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Robinhood Securities LLC

Account 430147538

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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OASIS PETROLEUM INC. COMMON ST OCK / CUSIP: 674215108 / Symbol: (cont'd)							
	100.000	76.14	08/11/20	77.48	1.34 W	0.00	9 of 14 - Sale ²⁵
	100.000	76.14	08/11/20	77.48	1.34 W	0.00	10 of 14 - Sale ²⁵
	100.000	76.14	08/11/20	77.48	1.34 W	0.00	11 of 14 - Sale ²⁵
	100.000	76.13	08/11/20	77.48	1.35 W	0.00	12 of 14 - Sale ²⁵
	100.000	76.14	08/11/20	77.48	1.34 W	0.00	13 of 14 - Sale ²⁵
	90.000	68.52	08/11/20	69.73	1.21 W	0.00	14 of 14 - Sale ²⁵
08/11/20	990.000	753.78	Various	774.57	20.79 W	0.00	Total of 14 transactions
	11 transactions for 09/15/20. Total proceeds and cost reported to the IRS.						
	100.000	46.44	09/09/20	48.07	...	-1.63	1 of 11 - Sale ²⁵
	90.000	41.79	09/09/20	43.27	...	-1.48	2 of 11 - Sale ²⁵
	150.000	69.66	09/09/20	70.10	...	-0.44	3 of 11 - Sale ²⁵
	100.000	46.44	09/09/20	46.73	...	-0.29	4 of 11 - Sale ²⁵
	10.000	4.64	09/09/20	4.80	...	-0.16	5 of 11 - Sale ²⁵
	96.000	44.58	09/10/20	41.28	...	3.30	6 of 11 - Sale ²⁵
	404.000	187.61	09/10/20	173.72	...	13.89	7 of 11 - Sale ²⁵
	100.000	46.43	09/11/20	38.01	...	8.42	8 of 11 - Sale ²⁵
	100.000	46.44	09/11/20	38.01	...	8.43	9 of 11 - Sale ²⁵
	100.000	46.44	09/11/20	38.01	...	8.43	10 of 11 - Sale ²⁵
	200.000	92.87	09/11/20	76.02	...	16.85	11 of 11 - Sale ²⁵
09/15/20	1,450.000	673.34	Various	618.02	...	55.32	Total of 11 transactions
	10 transactions for 09/15/20. Total proceeds and cost reported to the IRS.						
	10.000	4.65	08/11/20	8.17	3.52 W	0.00	1 of 10 - Sale ²⁵
	40.000	18.58	08/31/20	24.52	5.94 W	0.00	2 of 10 - Sale ²⁵
	50.000	23.22	08/31/20	30.66	7.44 W	0.00	3 of 10 - Sale ²⁵
	10.000	4.64	09/09/20	4.81	0.17 W	0.00	4 of 10 - Sale ²⁵
	90.000	41.79	09/09/20	43.23	1.44 W	0.00	5 of 10 - Sale ²⁵
	100.000	46.44	09/09/20	48.02	1.58 W	0.00	6 of 10 - Sale ²⁵
	100.000	46.44	09/09/20	48.02	1.58 W	0.00	7 of 10 - Sale ²⁵
	100.000	46.44	09/09/20	48.02	1.58 W	0.00	8 of 10 - Sale ²⁵
	10.000	4.64	09/09/20	8.19	3.55 W	0.00	9 of 10 - Sale ²⁵
	40.000	18.58	09/09/20	24.63	6.05 W	0.00	10 of 10 - Sale ²⁵
09/15/20	550.000	255.42	Various	288.27	32.85 W	0.00	Total of 10 transactions

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Account 430147538

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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OASIS PETROLEUM INC. COMMON ST OCK / CUSIP: 674215108 / Symbol: (cont'd)							
<i>8 transactions for 10/05/20. Total proceeds and cost reported to the IRS.</i>							
	50.000	9.19	10/02/20	16.63	...	-7.44	1 of 8 - Sale ²⁵
	40.000	7.36	10/02/20	13.39	...	-6.03	2 of 8 - Sale ²⁵
	10.000	1.84	10/02/20	5.39	...	-3.55	3 of 8 - Sale ²⁵
	100.000	18.38	10/02/20	19.95	...	-1.57	4 of 8 - Sale ²⁵
	100.000	18.39	10/02/20	19.95	...	-1.56	5 of 8 - Sale ²⁵
	100.000	18.39	10/02/20	19.95	...	-1.56	6 of 8 - Sale ²⁵
	90.000	16.55	10/02/20	17.97	...	-1.42	7 of 8 - Sale ²⁵
	10.000	1.84	10/02/20	2.01	...	-0.17	8 of 8 - Sale ²⁵
10/05/20	500.000	91.94	Various	115.24	...	-23.30	Total of 8 transactions
	Security total:	2,848.16		2,536.03	59.16 W	371.29	
OCEAN POWER TECHNOLOGIES, INC. COMMON STOCK / CUSIP: 674870506 / Symbol:							
08/12/20	99.000	145.62	08/12/20	129.19	...	16.43	Sale ²⁵
08/14/20	1.000	1.19	08/12/20	1.30	...	-0.11	Sale ²⁵
	Security total:	146.81		130.49	...	16.32	
OCUGEN, INC. COMMON STOCK / CUSIP: 67577C105 / Symbol:							
<i>3 transactions for 05/20/20. Total proceeds and cost reported to the IRS.</i>							
	100.000	30.82	05/18/20	30.30	...	0.52	1 of 3 - Sale ²⁵
	200.000	61.64	05/19/20	61.10	...	0.54	2 of 3 - Sale ²⁵
	500.000	154.09	05/19/20	152.75	...	1.34	3 of 3 - Sale ²⁵
05/20/20	800.000	246.55	Various	244.15	...	2.40	Total of 3 transactions
OPKO HEALTH, INC. COMMON STOCK / CUSIP: 68375N103 / Symbol:							
07/13/20	1.000	4.16	07/09/20	3.98	...	0.18	Sale ²⁵
PENNEY J C CORP INC COMMON STO CK / CUSIP: 708160106 / Symbol:							
<i>2 transactions for 04/29/20. Total proceeds and cost reported to the IRS.</i>							
	200.000	55.77	04/24/20	46.60	...	9.17	1 of 2 - Sale ²⁵
	100.000	27.89	04/28/20	26.00	...	1.89	2 of 2 - Sale ²⁵
04/29/20	300.000	83.66	Various	72.60	...	11.06	Total of 2 transactions
<i>7 transactions for 05/11/20. Total proceeds and cost reported to the IRS.</i>							
	200.000	30.58	05/05/20	44.13	...	-13.55	1 of 7 - Sale ²⁵

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2020 1099-B* OMB No. 1545-0715

(continued)

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PENNEY J C CORP INC COMMON STO CK / CUSIP: 708160106 / Symbol: (cont'd)							
	100.000	15.29	05/05/20	21.50	...	-6.21	2 of 7 - Sale ²⁵
	60.000	9.17	05/05/20	13.68	...	-4.51	3 of 7 - Sale ²⁵
	38.000	5.81	05/05/20	8.36	...	-2.55	4 of 7 - Sale ²⁵
	2.000	0.31	05/05/20	0.45	...	-0.14	5 of 7 - Sale ²⁵
	100.000	15.28	05/08/20	17.01	...	-1.73	6 of 7 - Sale ²⁵
	100.000	15.29	05/08/20	17.01	...	-1.72	7 of 7 - Sale ²⁵
05/11/20	600.000	91.73	Various	122.14	...	-30.41	Total of 7 transactions
	Security total:	175.39		194.74	...	-19.35	
PETROLEO BRASILEIRO S.A.-PETRO BRAS ADS (REP 1 COMMON SHARE) / CUSIP: 71654V408 / Symbol:							
04/29/20	1.000	6.79	04/24/20	5.58	...	1.21	Sale ²⁵
PHASEBIO PHARMACEUTICALS, INC. COMMON STOCK / CUSIP: 717224109 / Symbol:							
07/16/20	1.000	5.22	07/08/20	4.82	...	0.40	Sale ²⁵
PLUG POWER, INC. COMMON STOCK / CUSIP: 72919P202 / Symbol:							
2 transactions for 04/29/20. Total proceeds and cost reported to the IRS.							
	10.000	45.00	04/24/20	43.50	...	1.50	1 of 2 - Sale ²⁵
	20.000	90.00	04/24/20	86.40	...	3.60	2 of 2 - Sale ²⁵
04/29/20	30.000	135.00	Various	129.90	...	5.10	Total of 2 transactions
3 transactions for 05/27/20. Total proceeds and cost reported to the IRS.							
	50.000	215.61	04/29/20	220.25	...	-4.64	1 of 3 - Sale ²⁵
	10.000	43.12	04/30/20	42.40	...	0.72	2 of 3 - Sale ²⁵
	10.000	43.13	05/14/20	38.50	...	4.63	3 of 3 - Sale ²⁵
05/27/20	70.000	301.86	Various	301.15	...	0.71	Total of 3 transactions
	Security total:	436.86		431.05	...	5.81	
POLAR POWER, INC. COMMON STOCK / CUSIP: 73102V105 / Symbol:							
2 transactions for 06/15/20. Total proceeds and cost reported to the IRS.							
	50.000	78.24	04/29/20	78.00	...	0.24	1 of 2 - Sale ²⁵
	10.000	15.65	04/29/20	15.25	...	0.40	2 of 2 - Sale ²⁵
06/15/20	60.000	93.89	Various	93.25	...	0.64	Total of 2 transactions

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POLYMET MINING CORP. / CUSIP: 731916102 / Symbol:							
06/17/20	100.000	48.08	06/16/20	42.79	...	5.29	Sale ²⁵
PROSHARES ULTRA VIX SHORT-TERM FUTURES ETF / CUSIP: 74347W148 / Symbol:							
2 transactions for 11/25/20. Total proceeds and cost reported to the IRS.							
	20.000	239.19	11/24/20	238.80	...	0.39	1 of 2 - Sale ²⁵
	30.000	358.79	11/24/20	358.20	...	0.59	2 of 2 - Sale ²⁵
11/25/20	50.000	597.98	Various	597.00	...	0.98	Total of 2 transactions
2 transactions for 12/07/20. Total proceeds and cost reported to the IRS.							
	64.000	717.41	11/24/20	764.16	...	-46.75	1 of 2 - Sale ²⁵
	36.000	403.55	11/24/20	429.84	...	-26.29	2 of 2 - Sale ²⁵
12/07/20	100.000	1,120.96	Various	1,194.00	...	-73.04	Total of 2 transactions
	Security total:	1,718.94		1,791.00	...	-72.06	
PROSHARES ULTRA BLOOMBERG CRUD E OIL / CUSIP: 74347Y888 / Symbol:							
06/09/20	10.000	283.90	06/08/20	292.10	...	-8.20	Sale ²⁵
MOTLEY FOOL 100 INDEX ETF / CUSIP: 74933W601 / Symbol:							
06/19/20	20.000	553.28	06/09/20	557.90	...	-4.62	Sale ²⁵
RACKSPACE TECHNOLOGY, INC. COM MON STOCK / CUSIP: 750102105 / Symbol:							
08/14/20	10.000	164.90	08/13/20	160.00	...	4.90	Sale ²⁵
RADIANT LOGISTICS, INC. / CUSIP: 75025X100 / Symbol:							
05/12/20	1.000	3.92	05/12/20	4.01	...	-0.09	Sale ²⁵
RESONANT INC. COMMON STOCK / CUSIP: 76118L102 / Symbol:							
04/29/20	28.000	73.64	04/29/20	72.49	...	1.15	Sale ²⁵
05/07/20	10.000	25.00	05/06/20	22.70	...	2.30	Sale ²⁵
05/08/20	10.000	26.01	05/06/20	22.70	...	3.31	Sale ²⁵
3 transactions for 06/01/20. Total proceeds and cost reported to the IRS.							
	1.000	2.32	05/13/20	2.28	...	0.04	1 of 3 - Sale ²⁵
	40.000	92.60	05/13/20	92.40	...	0.20	2 of 3 - Sale ²⁵
	9.000	20.83	05/13/20	19.80	...	1.03	3 of 3 - Sale ²⁵
06/01/20	50.000	115.75	Various	114.48	...	1.27	Total of 3 transactions
	Security total:	240.40		232.37	...	8.03	

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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
SABRE CORPORATION COMMON STOCK / CUSIP: 78573M104 / Symbol:							
04/29/20	1.000	6.55	04/24/20	5.60	...	0.95	Sale ²⁵
SENSEONICS HOLDINGS, INC. / CUSIP: 81727U105 / Symbol:							
<i>10 transactions for 06/08/20. Total proceeds and cost reported to the IRS.</i>							
	10.000	4.80	04/30/20	5.88	...	-1.08	1 of 10 - Sale ²⁵
	40.000	19.20	05/07/20	21.91	...	-2.71	2 of 10 - Sale ²⁵
	50.000	24.01	05/15/20	23.76	...	0.25	3 of 10 - Sale ²⁵
	64.000	30.73	05/28/20	31.36	...	-0.63	4 of 10 - Sale ²⁵
	36.000	17.28	05/28/20	17.78	...	-0.50	5 of 10 - Sale ²⁵
	100.000	48.01	05/29/20	48.03	...	-0.02	6 of 10 - Sale ²⁵
	100.000	48.01	06/01/20	45.71	...	2.30	7 of 10 - Sale ²⁵
	100.000	48.01	06/02/20	44.80	...	3.21	8 of 10 - Sale ²⁵
	23.000	11.04	06/03/20	9.89	...	1.15	9 of 10 - Sale ²⁵
	177.000	84.98	06/03/20	75.86	...	9.12	10 of 10 - Sale ²⁵
06/08/20	700.000	336.07	Various	324.98	...	11.09	Total of 10 transactions
SLACK TECHNOLOGIES, INC. / CUSIP: 83088V102 / Symbol:							
<i>2 transactions for 06/18/20. Total proceeds and cost reported to the IRS.</i>							
	1.000	34.02	06/10/20	32.19	...	1.83	1 of 2 - Sale ²⁵
	4.000	136.08	06/10/20	128.76	...	7.32	2 of 2 - Sale ²⁵
06/18/20	5.000	170.10	Various	160.95	...	9.15	Total of 2 transactions
TORCHLIGHT ENERGY RESOURCES, I NC. COMMON STOCK / CUSIP: 89102U103 / Symbol:							
<i>5 transactions for 09/04/20. Total proceeds and cost reported to the IRS.</i>							
	300.000	78.56	08/13/20	119.64	...	-41.08	1 of 5 - Sale ²⁵
	100.000	26.19	08/21/20	29.98	...	-3.79	2 of 5 - Sale ²⁵
	35.000	9.16	09/02/20	10.09	...	-0.93	3 of 5 - Sale ²⁵
	15.000	3.93	09/02/20	4.33	...	-0.40	4 of 5 - Sale ²⁵
	20.000	5.24	09/03/20	5.59	...	-0.35	5 of 5 - Sale ²⁵
09/04/20	470.000	123.08	Various	169.63	...	-46.55	Total of 5 transactions

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Robinhood Securities LLC

Account 430147538

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
TOUGHBUILT INDUSTRIES, INC. COMMON STOCK / CUSIP: 89157G504 / Symbol:							
2 transactions for 08/14/20. Total proceeds and cost reported to the IRS.							
	1.000	0.76	08/13/20	0.80	...	-0.04	1 of 2 - Sale ²⁵
	99.000	90.20	08/13/20	79.20	...	11.00	2 of 2 - Sale ²⁵
08/14/20	100.000	90.96	Various	80.00	...	10.96	Total of 2 transactions
TUESDAY MORNING CORP. COMMON STOCK / CUSIP: 899035505 / Symbol:							
06/18/20	100.000	21.59	06/05/20	30.56	...	-8.97	Sale ²⁵
UNITED STATES OIL FUND, LP / CUSIP: 91232N207 / Symbol:							
04/29/20	3.000	54.03	04/27/20	52.44	...	1.59	Sale ²⁵
VBI VACCINES, INC. NEW COMMON STOCK (CANADA) / CUSIP: 91822J103 / Symbol:							
2 transactions for 08/27/20. Total proceeds and cost reported to the IRS.							
	50.000	210.00	08/18/20	200.44	...	9.56	1 of 2 - Sale ²⁵
	50.000	209.99	08/21/20	186.94	...	23.05	2 of 2 - Sale ²⁵
08/27/20	100.000	419.99	Various	387.38	...	32.61	Total of 2 transactions
09/14/20	100.000	340.99	09/10/20	321.87	...	19.12	Sale ²⁵
	Security total:	760.98		709.25	...	51.73	
VYNE THERAPEUTICS INC. COMMON STOCK / CUSIP: 92941V100 / Symbol:							
4 transactions for 09/08/20. Total proceeds and cost reported to the IRS.							
	89.000	130.38	07/30/20	161.11	...	-30.73	1 of 4 - Sale ²⁵
	11.000	16.11	07/30/20	19.91	...	-3.80	2 of 4 - Sale ²⁵
	89.000	130.38	08/04/20	157.98	...	-27.60	3 of 4 - Sale ²⁵
	11.000	16.06	08/04/20	19.52	...	-3.46	4 of 4 - Sale ²⁵
09/08/20	200.000	292.93	Various	358.52	...	-65.59	Total of 4 transactions
ZOMEDICA CORP. / CUSIP: 98980M109 / Symbol:							
13 transactions for 10/21/20. Total proceeds and cost reported to the IRS.							
	500.000	38.69	06/17/20	102.50	...	-63.81	1 of 13 - Sale ²⁵
	500.000	38.69	07/02/20	77.40	...	-38.71	2 of 13 - Sale ²⁵
	2,000.000	154.76	07/28/20	329.40	...	-174.64	3 of 13 - Sale ²⁵
	1,000.000	77.38	07/30/20	160.80	...	-83.42	4 of 13 - Sale ²⁵
	1,000.000	77.38	07/31/20	160.40	...	-83.02	5 of 13 - Sale ²⁵

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Robinhood Securities LLC

Account 430147538

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
ZOMEDICA CORP. / CUSIP: 98980M109 / Symbol: (cont'd)							
	411.000	31.80	08/05/20	63.71	...	-31.91	6 of 13 - Sale ²⁵
	89.000	6.89	08/05/20	13.80	...	-6.91	7 of 13 - Sale ²⁵
	500.000	38.69	08/06/20	76.90	...	-38.21	8 of 13 - Sale ²⁵
	700.000	54.16	08/21/20	91.70	...	-37.54	9 of 13 - Sale ²⁵
	300.000	23.21	08/21/20	39.30	...	-16.09	10 of 13 - Sale ²⁵
	100.000	7.74	08/31/20	10.94	...	-3.20	11 of 13 - Sale ²⁵
	1,900.000	147.02	09/15/20	201.21	...	-54.19	12 of 13 - Sale ²⁵
	1.000	0.08	10/20/20	0.08	...	0.00	13 of 13 - Sale ²⁵
10/21/20	9,001.000	696.49	Various	1,328.14	...	-631.65	Total of 13 transactions
ZYNGA INC. CLASS A COMMON STOC K / CUSIP: 98986T108 / Symbol:							
06/17/20	20.000	186.65	06/10/20	186.54	...	0.11	Sale ²⁵
LIANLUO SMART LIMITED CLASS A COMMON STOCK / CUSIP: G5478K100 / Symbol:							
2 transactions for 04/29/20. Total proceeds and cost reported to the IRS.							
	200.000	83.98	04/24/20	83.98	...	0.00	1 of 2 - Sale ²⁵
	200.000	83.97	04/27/20	93.58	...	-9.61	2 of 2 - Sale ²⁵
04/29/20	400.000	167.95	Various	177.56	...	-9.61	Total of 2 transactions
NOBLE CORP PLC COMMON STOCK / CUSIP: G65431101 / Symbol:							
04/29/20	100.000	23.99	04/27/20	22.31	...	1.68	Sale ²⁵
7 transactions for 06/05/20. Total proceeds and cost reported to the IRS.							
	100.000	28.16	04/29/20	23.69	...	4.47	1 of 7 - Sale ²⁵
	85.000	23.93	05/01/20	21.25	...	2.68	2 of 7 - Sale ²⁵
	5.000	1.41	05/06/20	1.13	...	0.28	3 of 7 - Sale ²⁵
	10.000	2.82	05/06/20	2.27	...	0.55	4 of 7 - Sale ²⁵
	100.000	28.16	05/15/20	16.28	...	11.88	5 of 7 - Sale ²⁵
	100.000	28.15	05/29/20	12.50	...	15.65	6 of 7 - Sale ²⁵
	100.000	28.16	05/29/20	12.01	...	16.15	7 of 7 - Sale ²⁵
06/05/20	500.000	140.79	Various	89.13	...	51.66	Total of 7 transactions
	Security total:	164.78		111.44	...	53.34	
NORWEGIAN CRUISE LINE HOLDINGS LTD. ORDINARY SHARES / CUSIP: G66721104 / Symbol:							
06/04/20	20.000	392.20	06/04/20	373.60	...	18.60	Sale ²⁵

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Robinhood Securities LLC

Account 430147538

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
TRANSOCEAN LTD. / CUSIP: H8817H100 / Symbol:							
2 transactions for 10/15/20. Total proceeds and cost reported to the IRS.							
	200.000	159.47	10/09/20	168.22	...	-8.75	1 of 2 - Sale ²⁵
	100.000	79.74	10/13/20	80.25	...	-0.51	2 of 2 - Sale ²⁵
10/15/20	300.000	239.21	Various	248.47	...	-9.26	Total of 2 transactions
INTELSAT S A COMMON STOCK / CUSIP: L5140P101 / Symbol:							
3 transactions for 05/28/20. Total proceeds and cost reported to the IRS.							
	100.000	40.24	05/15/20	48.50	...	-8.26	1 of 3 - Sale ²⁵
	30.000	12.07	05/15/20	13.74	...	-1.67	2 of 3 - Sale ²⁵
	70.000	28.17	05/15/20	27.31	...	0.86	3 of 3 - Sale ²⁵
05/28/20	200.000	80.48	Various	89.55	...	-9.07	Total of 3 transactions
CERAGON NETWORKS LTD. ORDINARY SHARES / CUSIP: M22013102 / Symbol:							
05/19/20	50.000	112.50	05/12/20	115.00	...	-2.50	Sale ²⁵
ENTERA BIO LTD. ORDINARY SHARE S / CUSIP: M40527109 / Symbol:							
11 transactions for 09/17/20. Total proceeds and cost reported to the IRS.							
	140.000	182.58	08/07/20	240.80	...	-58.22	1 of 11 - Sale ²⁵
	49.000	63.90	08/07/20	84.28	...	-20.38	2 of 11 - Sale ²⁵
	50.000	65.21	08/07/20	84.00	...	-18.79	3 of 11 - Sale ²⁵
	50.000	65.21	08/07/20	83.50	...	-18.29	4 of 11 - Sale ²⁵
	1.000	1.30	08/07/20	1.72	...	-0.42	5 of 11 - Sale ²⁵
	10.000	13.04	08/10/20	16.40	...	-3.36	6 of 11 - Sale ²⁵
	50.000	65.21	08/14/20	71.50	...	-6.29	7 of 11 - Sale ²⁵
	50.000	65.21	09/02/20	51.50	...	13.71	8 of 11 - Sale ²⁵
	100.000	130.41	09/14/20	105.50	...	24.91	9 of 11 - Sale ²⁵
	100.000	130.41	09/14/20	105.50	...	24.91	10 of 11 - Sale ²⁵
	200.000	260.83	09/16/20	212.00	...	48.83	11 of 11 - Sale ²⁵
09/17/20	800.000	1,043.31	Various	1,056.70	...	-13.39	Total of 11 transactions
TOP SHIPS, INC. COMMON STOCK / CUSIP: Y8897Y164 / Symbol:							
07/27/20	200.000	20.78	07/10/20	22.00	...	-1.22	Sale ²⁵

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Robinhood Securities LLC

Account 430147538

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:							
<i>2 transactions for 08/11/20. Total proceeds and cost reported to the IRS.</i>							
	50.000	83.11	08/10/20	76.81	...	6.30	1 of 2 - Sale ²⁵
	49.000	81.45	08/10/20	71.05	...	10.40	2 of 2 - Sale ²⁵
08/11/20	99.000	164.56	Various	147.86	...	16.70	Total of 2 transactions
<i>2 transactions for 08/20/20. Total proceeds and cost reported to the IRS.</i>							
	100.000	144.20	08/12/20	140.65	...	3.55	1 of 2 - Sale ²⁵
	99.000	142.76	08/20/20	102.60	...	40.16	2 of 2 - Sale ²⁵
08/20/20	199.000	286.96	Various	243.25	...	43.71	Total of 2 transactions
08/20/20	1.000	1.44	08/10/20	1.45	0.01 W	0.00	Sale ²⁵
08/24/20	1.000	1.39	08/20/20	1.05	...	0.34	Sale ²⁵
	Security total:	454.35		393.61	0.01 W	60.75	
Totals :		47,973.98		47,301.34	491.09 W	1,163.73	

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Robinhood Securities LLC

Account 430147538

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
UNITED STATES OIL FUND, LP / CUSIP: 91232N207 / Symbol:							
05/12/20	0.125	2.04	04/27/20	2.19	...	-0.15	Gain or loss
Totals:		2.04		2.19	...	-0.15	

Robinhood Securities LLC

Account 430147538

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
CEDAR REALTY TRUST, INC	150602209		08/20/20	14.00	Section 199A dividend	03
INVESCO MORTGAGE CAPITAL INC.	46131B100		07/28/20	2.00	Nondividend distribution	03
				16.00	Total Dividends & distributions	

Robinhood Securities LLC

Account 430147538

Fees and Expenses

2020

02/14/2021

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

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

Description	CUSIP and/or symbol	Date	Amount	Transaction type	Notes
		05/29/20	-5.00	Margin interest paid	
		06/29/20	-5.00	Margin interest paid	
		07/28/20	-5.00	Margin interest paid	
		08/27/20	-5.00	Margin interest paid	
		09/28/20	-0.36	Margin interest paid	
		09/28/20	-5.00	Margin interest paid	
		10/26/20	-0.05	Margin interest paid	
		10/26/20	-5.00	Margin interest paid	
		11/25/20	-0.14	Margin interest paid	
		11/25/20	-5.00	Margin interest paid	
			-35.55	Total Margin interest paid	
			-35.55	Total Margin interest paid	

Robinhood Securities LLC

Account 430147538

Non-Reportable Actions

2020

02/14/2021

Security Description	CUSIP and/or symbol	Date	Quantity	Amount	Transaction type	Notes
MENLO THERAPEUTICS INC. COMMON STOCK	586858102	09/08/20	-200.00	0.00	Exchange	
VYNE THERAPEUTICS INC. COMMON STOCK	92941V100	09/08/20	200.00	0.00	Exchange	
ZOMEDICA PHARMACEUTICALS CORP.	98979F107	10/05/20	-9,000.00	0.00	Exchange	
ZOMEDICA CORP.	98980M109	10/05/20	9,000.00	0.00	Exchange	
CBL 01/15/2021 PUT \$0.50	CBL 01/15/21 P 0.500	11/04/20	9.00	0.00	Merger	
CBL 03/19/2021 PUT \$1.00	CBL 03/19/21 P 1.000	11/04/20	8.00	0.00	Merger	
CBLAQ 01/15/2021 PUT \$0.50	CBLAQ 01/15/21 P 0.500	11/04/20	-9.00	0.00	Merger	
CBLAQ 03/19/2021 PUT \$1.00	CBLAQ 03/19/21 P 1.000	11/04/20	-8.00	0.00	Merger	

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

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

Common Instructions for Recipient

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Instructions for Recipient

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

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

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

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

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

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

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

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.