

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 115422180	Statement Date: 02/14/2021 Document ID: W8BY JFM P12G	2020
	Rajashekar Janki 5503 Research Drive 8207 San Antonio, TX 78240 RECIPIENT'S TIN: XXX-XX-4526		

Summary Information

DIVIDENDS AND DISTRIBUTIONS	2020 1099-DIV*	OMB No. 1545-0110	MISCELLANEOUS INCOME	2020 1099-MISC*	OMB No. 1545-0115
1a- Total ordinary dividends (includes lines 1b, 5)	44.13		2- Royalties	0.00	
1b- Qualified dividends	44.13		3- Other income	0.00	
2a- Total capital gain distributions (includes lines 2b, 2c, 2d)	0.00		4- Federal income tax withheld	0.00	
2b- Unrecaptured Section 1250 gain	0.00		8- Substitute payments in lieu of dividends or interest	0.00	
2c- Section 1202 gain	0.00				
2d- Collectibles (28%) gain	0.00		SECTION 1256 CONTRACTS	2020 1099-B*	OMB No. 1545-0715
3- Nondividend distributions	0.00		8- Profit or (loss) realized in 2020 on closed contracts	0.00	
4- Federal income tax withheld	0.00		9- Unrealized profit or (loss) on open contracts-12/31/2019	0.00	
5- Section 199A dividends	0.00		10- Unrealized profit or (loss) on open contracts-12/31/2020	0.00	
6- Investment expenses	0.00		11- Aggregate profit or (loss) on contracts	0.00	
8- Foreign country or US possession:	0.00				
7- Foreign tax paid:	0.00				
9- Cash liquidation distributions	0.00				
10- Noncash liquidation distributions	0.00				
11- Exempt-interest dividends (includes line 12)	0.00				
12- Specified private activity bond interest dividends (AMT)	0.00				

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

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SUMMARY OF PROCEEDS, GAINS & LOSSES, ADJUSTMENTS AND WITHHOLDING

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

Term	Form 8949 type	Proceeds	Cost basis	Market discount	Wash sale loss disallowed	Net gain or loss(-)
Short	A (basis reported to the IRS)	221,582.08	246,088.44	0.00	11,333.53	-13,172.83
Short	B (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Short	C (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
	Total Short-term	221,582.08	246,088.44	0.00	11,333.53	-13,172.83
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	221,582.08	246,088.44	0.00	11,333.53	-13,172.83

Withholding	Amount
Federal income tax withheld	0.00

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

Robinhood Securities LLC

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Summary Information

2020

(continued)

02/14/2021

INTEREST INCOME

2020 1099-INT

OMB No. 1545-0112

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

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

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

STATE TAX WITHHELD

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

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

ORIGINAL ISSUE DISCOUNT AND ADJUSTMENTS

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

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

RECONCILIATIONS, FEES, EXPENSES AND EXPENDITURES

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

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

Robinhood Securities LLC

Account 115422180

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
AAPL 10/16/2020 CALL \$113.00 / CUSIP: / Symbol:							
3 transactions for 09/25/20. Total proceeds and cost reported to the IRS.							
	1.000	417.99	09/23/20	485.01	...	-67.02	1 of 3 - Option sale to close-call ²⁵
	1.000	417.99	09/24/20	407.03	...	10.96	2 of 3 - Option sale to close-call ²⁵
	1.000	417.98	09/24/20	356.04	...	61.94	3 of 3 - Option sale to close-call ²⁵
09/25/20	3.000	1,253.96	Various	1,248.08	...	5.88	Total of 3 transactions
5 transactions for 09/25/20. Total proceeds and cost reported to the IRS.							
	1.000	414.98	09/22/20	515.00	100.02 W	0.00	1 of 5 - Option sale to close-call ²⁵
	1.000	419.99	09/22/20	515.00	95.01 W	0.00	2 of 5 - Option sale to close-call ²⁵
	1.000	409.98	09/22/20	515.00	105.02 W	0.00	3 of 5 - Option sale to close-call ²⁵
	1.000	419.99	09/23/20	565.02	145.03 W	0.00	4 of 5 - Option sale to close-call ²⁵
	1.000	419.98	09/23/20	514.02	94.04 W	0.00	5 of 5 - Option sale to close-call ²⁵
09/25/20	5.000	2,084.92	Various	2,624.04	539.12 W	0.00	Total of 5 transactions
	Security total:	3,338.88		3,872.12	539.12 W	5.88	

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Robinhood Securities LLC

Account 115422180

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
AAPL 11/20/2020 CALL \$123.00 / CUSIP: / Symbol:							
11/16/20	1.000	67.98	11/12/20	95.00	...	-27.02	Option sale to close-call ²⁵
AAPL 11/27/2020 CALL \$110.00 / CUSIP: / Symbol:							
11/02/20	1.000	404.98	11/02/20	370.00	...	34.98	Option sale to close-call ²⁵
AAPL 11/27/2020 CALL \$118.00 / CUSIP: / Symbol:							
2 transactions for 11/25/20. Total proceeds and cost reported to the IRS.							
	1.000	28.99	11/20/20	159.00	...	-130.01	1 of 2 - Option sale to close-call ²⁵
	1.000	28.99	11/20/20	149.00	...	-120.01	2 of 2 - Option sale to close-call ²⁵
11/25/20	2.000	57.98	Various	308.00	...	-250.02	Total of 2 transactions
AAPL 11/27/2020 CALL \$120.00 / CUSIP: / Symbol:							
11/16/20	5.000	1,344.96	11/16/20	910.00	...	434.96	Option sale to close-call ²⁵
8 transactions for 11/17/20. Total proceeds and cost reported to the IRS.							
	1.000	248.98	11/17/20	200.00	...	48.98	1 of 8 - Option sale to close-call ²⁵
	1.000	248.98	11/17/20	195.00	...	53.98	2 of 8 - Option sale to close-call ²⁵
	3.000	746.97	11/17/20	600.00	...	146.97	3 of 8 - Option sale to close-call ²⁵
	3.000	746.98	11/17/20	600.00	...	146.98	4 of 8 - Option sale to close-call ²⁵
	3.000	746.98	11/17/20	600.00	...	146.98	5 of 8 - Option sale to close-call ²⁵
	3.000	746.97	11/17/20	585.00	...	161.97	6 of 8 - Option sale to close-call ²⁵
	5.000	1,244.96	11/17/20	975.00	...	269.96	7 of 8 - Option sale to close-call ²⁵
	6.000	1,493.95	11/17/20	1,170.00	...	323.95	8 of 8 - Option sale to close-call ²⁵
11/17/20	25.000	6,224.77	Various	4,925.00	...	1,299.77	Total of 8 transactions
	Security total:	7,569.73		5,835.00	...	1,734.73	
AAPL 11/27/2020 CALL \$122.00 / CUSIP: / Symbol:							
26 transactions for 11/17/20. Total proceeds and cost reported to the IRS.							
	1.000	153.98	11/17/20	144.00	...	9.98	1 of 26 - Option sale to close-call ²⁵
	1.000	153.98	11/17/20	144.00	...	9.98	2 of 26 - Option sale to close-call ²⁵
	1.000	153.98	11/17/20	144.00	...	9.98	3 of 26 - Option sale to close-call ²⁵
	1.000	153.98	11/17/20	144.00	...	9.98	4 of 26 - Option sale to close-call ²⁵

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Account 115422180

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
AAPL 11/27/2020 CALL \$122.00 / CUSIP: / Symbol: (cont'd)							
	1.000	153.98	11/17/20	144.00	...	9.98	5 of 26 - Option sale to close-call ₂₅
	1.000	153.99	11/17/20	144.00	...	9.99	6 of 26 - Option sale to close-call ₂₅
	2.000	307.98	11/17/20	288.00	...	19.98	7 of 26 - Option sale to close-call ₂₅
	3.000	461.98	11/17/20	432.00	...	29.98	8 of 26 - Option sale to close-call ₂₅
	1.000	153.98	11/17/20	119.00	...	34.98	9 of 26 - Option sale to close-call ₂₅
	1.000	153.99	11/17/20	119.00	...	34.99	10 of 26 - Option sale to close-call ₂₅
	1.000	153.99	11/17/20	119.00	...	34.99	11 of 26 - Option sale to close-call ₂₅
	1.000	154.00	11/17/20	119.00	...	35.00	12 of 26 - Option sale to close-call ₂₅
	2.000	307.99	11/17/20	270.00	...	37.99	13 of 26 - Option sale to close-call ₂₅
	4.000	615.97	11/17/20	576.00	...	39.97	14 of 26 - Option sale to close-call ₂₅
	5.000	769.97	11/17/20	720.00	...	49.97	15 of 26 - Option sale to close-call ₂₅
	3.000	461.98	11/17/20	405.00	...	56.98	16 of 26 - Option sale to close-call ₂₅
	3.000	461.97	11/17/20	375.00	...	86.97	17 of 26 - Option sale to close-call ₂₅
	5.000	769.97	11/17/20	675.00	...	94.97	18 of 26 - Option sale to close-call ₂₅
	3.000	461.98	11/17/20	357.00	...	104.98	19 of 26 - Option sale to close-call ₂₅
	5.000	769.97	11/17/20	625.00	...	144.97	20 of 26 - Option sale to close-call ₂₅
	5.000	769.97	11/17/20	625.00	...	144.97	21 of 26 - Option sale to close-call ₂₅

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Account 115422180

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
AAPL 11/27/2020 CALL \$122.00 / CUSIP: / Symbol: (cont'd)							
	7.000	1,077.96	11/17/20	875.00	...	202.96	22 of 26 - Option sale to close-call ²⁵
	6.000	923.96	11/17/20	714.00	...	209.96	23 of 26 - Option sale to close-call ²⁵
	6.000	923.96	11/17/20	714.00	...	209.96	24 of 26 - Option sale to close-call ²⁵
	8.000	1,231.95	11/17/20	952.00	...	279.95	25 of 26 - Option sale to close-call ²⁵
	23.000	3,541.88	11/17/20	2,737.00	...	804.88	26 of 26 - Option sale to close-call ²⁵
11/17/20	100.000	15,399.29	Various	12,680.00	...	2,719.29	Total of 26 transactions
AAPL 12/04/2020 CALL \$120.00 / CUSIP: / Symbol:							
3 transactions for 11/30/20. Total proceeds and cost reported to the IRS.							
	1.000	129.99	11/18/20	247.00	...	-117.01	1 of 3 - Option sale to close-call ²⁵
	1.000	130.00	11/19/20	307.01	...	-177.01	2 of 3 - Option sale to close-call ²⁵
	1.000	129.99	11/19/20	305.01	...	-175.02	3 of 3 - Option sale to close-call ²⁵
11/30/20	3.000	389.98	Various	859.02	...	-469.04	Total of 3 transactions
11/30/20	2.000	259.98	11/18/20	494.00	234.02 W	0.00	Option sale to close-call ²⁵
	Security total:	649.96		1,353.02	234.02 W	-469.04	
AAPL 12/11/2020 CALL \$119.00 / CUSIP: / Symbol:							
11/20/20	2.000	599.97	11/19/20	588.00	...	11.97	Option sale to close-call ²⁵
11/30/20	8.000	2,271.92	11/19/20	2,352.00	...	-80.08	Option sale to close-call ²⁵
	Security total:	2,871.89		2,940.00	...	-68.11	
AAPL 12/18/2020 CALL \$117.50 / CUSIP: / Symbol:							
11/30/20	3.000	1,094.96	11/23/20	1,080.00	...	14.96	Option sale to close-call ²⁵
AAPL 12/18/2020 CALL \$119.00 / CUSIP: / Symbol:							
11/30/20	1.000	304.98	11/23/20	280.00	...	24.98	Option sale to close-call ²⁵
AAPL 12/18/2020 CALL \$120.00 / CUSIP: / Symbol:							
11/30/20	15.000	4,499.87	11/20/20	4,455.00	...	44.87	Option sale to close-call ²⁵

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2020 1099-B* OMB No. 1545-0715

(continued)

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

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

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1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
AAPL 12/24/2020 CALL \$120.00 / CUSIP: / Symbol:							
9 transactions for 11/16/20. Total proceeds and cost reported to the IRS.							
	1.000	494.97	11/11/20	445.00	...	49.97	1 of 9 - Option sale to close-call ²⁵
	1.000	494.97	11/11/20	430.00	...	64.97	2 of 9 - Option sale to close-call ²⁵
	2.000	989.96	11/11/20	890.00	...	99.96	3 of 9 - Option sale to close-call ²⁵
	2.000	989.97	11/11/20	890.00	...	99.97	4 of 9 - Option sale to close-call ²⁵
	2.000	989.96	11/11/20	860.00	...	129.96	5 of 9 - Option sale to close-call ²⁵
	2.000	989.97	11/11/20	860.00	...	129.97	6 of 9 - Option sale to close-call ²⁵
	5.000	2,474.93	11/11/20	2,175.00	...	299.93	7 of 9 - Option sale to close-call ²⁵
	5.000	2,474.94	11/11/20	2,175.00	...	299.94	8 of 9 - Option sale to close-call ²⁵
	5.000	2,474.94	11/11/20	2,150.00	...	324.94	9 of 9 - Option sale to close-call ²⁵
11/16/20	25.000	12,374.61	Various	10,875.00	...	1,499.61	Total of 9 transactions
AMZN 11/27/2020 CALL \$3,155.00 / CUSIP: / Symbol:							
11/24/20	1.000	1,644.95	11/17/20	6,450.00	...	-4,805.05	Option sale to close-call ²⁵
11/25/20	1.000	2,204.94	11/17/20	6,450.00	...	-4,245.06	Option sale to close-call ²⁵
	Security total:	3,849.89		12,900.00	...	-9,050.11	
AMZN 11/27/2020 CALL \$3,160.00 / CUSIP: / Symbol:							
11/20/20	1.000	3,344.91	11/17/20	6,189.00	...	-2,844.09	Option sale to close-call ²⁵
AMZN 11/27/2020 CALL \$3,170.00 / CUSIP: / Symbol:							
11/19/20	1.000	3,234.91	11/17/20	6,465.00	...	-3,230.09	Option sale to close-call ²⁵
AMZN 12/04/2020 CALL \$3,120.00 / CUSIP: / Symbol:							
11/17/20	1.000	12,342.71	11/16/20	9,100.00	...	3,242.71	Option sale to close-call ²⁵
BA 10/02/2020 CALL \$160.00 / CUSIP: / Symbol:							
09/23/20	1.000	419.98	09/22/20	390.00	...	29.98	Option sale to close-call ²⁵
BA 10/09/2020 CALL \$160.00 / CUSIP: / Symbol:							
09/23/20	1.000	539.97	09/22/20	540.00	...	-0.03	Option sale to close-call ²⁵
BA 11/13/2020 CALL \$150.00 / CUSIP: / Symbol:							
11/02/20	1.000	574.97	10/29/20	545.00	...	29.97	Option sale to close-call ²⁵

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Robinhood Securities LLC

Account 115422180

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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CRM 01/15/2021 CALL \$250.00 / CUSIP: / Symbol:							
3 transactions for 12/22/20. Total proceeds and cost reported to the IRS.							
	5.000	1,089.96	12/17/20	1,100.00	...	-10.04	1 of 3 - Option sale to close-call ²⁵
	1.000	217.99	12/22/20	205.00	...	12.99	2 of 3 - Option sale to close-call ²⁵
	1.000	218.00	12/22/20	205.00	...	13.00	3 of 3 - Option sale to close-call ²⁵
12/22/20	7.000	1,525.95	Various	1,510.00	...	15.95	Total of 3 transactions
CRM 12/31/2020 CALL \$235.00 / CUSIP: / Symbol:							
12/16/20	5.000	1,069.96	12/15/20	1,025.00	...	44.96	Option sale to close-call ²⁵
CRM 12/31/2020 CALL \$245.00 / CUSIP: / Symbol:							
2 transactions for 12/22/20. Total proceeds and cost reported to the IRS.							
	10.000	469.97	12/01/20	11,200.00	...	-10,730.03	1 of 2 - Option sale to close-call ²⁵
	2.000	93.99	12/10/20	382.00	...	-288.01	2 of 2 - Option sale to close-call ²⁵
12/22/20	12.000	563.96	Various	11,582.00	...	-11,018.04	Total of 2 transactions
CRM 12/31/2020 CALL \$250.00 / CUSIP: / Symbol:							
12/01/20	4.000	4,179.89	11/30/20	4,020.00	...	159.89	Option sale to close-call ²⁵
CRM 12/31/2020 CALL \$252.50 / CUSIP: / Symbol:							
4 transactions for 12/21/20. Total proceeds and cost reported to the IRS.							
	1.000	38.00	11/25/20	1,215.00	...	-1,177.00	1 of 4 - Option sale to close-call ²⁵
	1.000	37.99	11/30/20	920.00	...	-882.01	2 of 4 - Option sale to close-call ²⁵
	2.000	75.99	12/01/20	1,710.00	...	-1,634.01	3 of 4 - Option sale to close-call ²⁵
	1.000	38.00	12/02/20	240.00	...	-202.00	4 of 4 - Option sale to close-call ²⁵
12/21/20	5.000	189.98	Various	4,085.00	...	-3,895.02	Total of 4 transactions
JDST 07/31/2020 CALL \$15.00 / CUSIP: / Symbol:							
07/14/20	1.000	174.98	07/09/20	135.00	...	39.98	Option sale to close-call ²⁵
JDST 08/28/2020 CALL \$14.00 / CUSIP: / Symbol:							
08/28/20	1.000	0.00	07/17/20	170.00	...	-170.00	Option expiration- long call
JDST 09/04/2020 CALL \$10.50 / CUSIP: / Symbol:							
09/01/20	1.000	34.98	09/01/20	29.00	...	5.98	Option sale to close-call ²⁵

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Account 115422180

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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JDST 09/11/2020 CALL \$10.00 / CUSIP: / Symbol:								
09/01/20	1.000	89.98	08/31/20	72.00	...	17.98	Option sale to close-call ²⁵	
JDST 09/18/2020 CALL \$10.50 / CUSIP: / Symbol:								
09/02/20	2.000	209.98	08/28/20	184.00	...	25.98	Option sale to close-call ²⁵	
JDST 09/18/2020 CALL \$12.00 / CUSIP: / Symbol:								
08/27/20	2.000	179.98	08/27/20	180.00	...	-0.02	Option sale to close-call ²⁵	
JDST 10/16/2020 CALL \$11.00 / CUSIP: / Symbol:								
09/02/20	2.000	283.98	08/28/20	300.00	...	-16.02	Option sale to close-call ²⁵	
MSFT 09/18/2020 CALL \$202.50 / CUSIP: / Symbol:								
09/17/20	1.000	177.98	09/17/20	117.00	...	60.98	Option sale to close-call ²⁵	
MSFT 09/18/2020 CALL \$210.00 / CUSIP: / Symbol:								
08/03/20	1.000	1,134.96	07/23/20	890.00	...	244.96	Option sale to close-call ²⁵	
MSFT 09/18/2020 CALL \$220.00 / CUSIP: / Symbol:								
08/27/20	1.000	1,334.96	07/15/20	835.00	...	499.96	Option sale to close-call ²⁵	
MSFT 09/25/2020 CALL \$200.00 / CUSIP: / Symbol:								
		2 transactions for 09/22/20. Total proceeds and cost reported to the IRS.						
	1.000	454.98	09/18/20	345.00	...	109.98	1 of 2 - Option sale to close-call ²⁵	
	1.000	454.98	09/21/20	291.00	...	163.98	2 of 2 - Option sale to close-call ²⁵	
09/22/20	2.000	909.96	Various	636.00	...	273.96	Total of 2 transactions	
MSFT 09/25/2020 CALL \$205.00 / CUSIP: / Symbol:								
		4 transactions for 09/22/20. Total proceeds and cost reported to the IRS.						
	1.000	206.99	09/21/20	184.04	...	22.95	1 of 4 - Option sale to close-call ²⁵	
	1.000	206.99	09/21/20	144.00	...	62.99	2 of 4 - Option sale to close-call ²⁵	
	1.000	206.99	09/21/20	102.00	...	104.99	3 of 4 - Option sale to close-call ²⁵	
	1.000	206.99	09/21/20	99.00	...	107.99	4 of 4 - Option sale to close-call ²⁵	
09/22/20	4.000	827.96	Various	529.04	...	298.92	Total of 4 transactions	

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(continued)

02/14/2021

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1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
MSFT 09/25/2020 CALL \$205.00 / CUSIP: / Symbol: (cont'd)							
2 transactions for 09/22/20. Total proceeds and cost reported to the IRS.							
	1.000	206.98	09/18/20	275.00	68.02 W	0.00	1 of 2 - Option sale to close-call ²⁵
	1.000	206.98	09/18/20	254.02	47.04 W	0.00	2 of 2 - Option sale to close-call ²⁵
09/22/20	2.000	413.96	Various	529.02	115.06 W	0.00	Total of 2 transactions
	Security total:	1,241.92		1,058.06	115.06 W	298.92	
MSFT 10/02/2020 CALL \$205.00 / CUSIP: / Symbol:							
4 transactions for 09/22/20. Total proceeds and cost reported to the IRS.							
	1.000	379.99	09/17/20	470.00	...	-90.01	1 of 4 - Option sale to close-call ²⁵
	1.000	379.99	09/17/20	425.00	...	-45.01	2 of 4 - Option sale to close-call ²⁵
	1.000	379.99	09/17/20	420.00	...	-40.01	3 of 4 - Option sale to close-call ²⁵
	1.000	379.98	09/18/20	355.00	...	24.98	4 of 4 - Option sale to close-call ²⁵
09/22/20	4.000	1,519.95	Various	1,670.00	...	-150.05	Total of 4 transactions
MSFT 10/16/2020 CALL \$210.00 / CUSIP: / Symbol:							
2 transactions for 09/22/20. Total proceeds and cost reported to the IRS.							
	1.000	444.99	09/17/20	495.00	...	-50.01	1 of 2 - Option sale to close-call ²⁵
	1.000	444.98	09/18/20	394.00	...	50.98	2 of 2 - Option sale to close-call ²⁵
09/22/20	2.000	889.97	Various	889.00	...	0.97	Total of 2 transactions
MSFT 11/27/2020 CALL \$217.50 / CUSIP: / Symbol:							
11 transactions for 11/20/20. Total proceeds and cost reported to the IRS.							
	3.000	185.99	11/17/20	1,632.02	...	-1,446.03	1 of 11 - Option sale to close-call ²⁵
	2.000	123.99	11/17/20	1,218.01	...	-1,094.02	2 of 11 - Option sale to close-call ²⁵
	2.000	123.99	11/17/20	1,104.02	...	-980.03	3 of 11 - Option sale to close-call ²⁵
	1.000	62.00	11/17/20	762.03	...	-700.03	4 of 11 - Option sale to close-call ²⁵
	1.000	62.00	11/17/20	762.03	...	-700.03	5 of 11 - Option sale to close-call ²⁵
	1.000	62.00	11/17/20	762.03	...	-700.03	6 of 11 - Option sale to close-call ²⁵

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MSFT 11/27/2020 CALL \$217.50 / CUSIP: / Symbol: (cont'd)							
	2.000	123.99	11/17/20	444.00	...	-320.01	7 of 11 - Option sale to close-call ²⁵
	2.000	123.99	11/17/20	406.00	...	-282.01	8 of 11 - Option sale to close-call ²⁵
	1.000	62.00	11/17/20	227.00	...	-165.00	9 of 11 - Option sale to close-call ²⁵
	1.000	62.00	11/17/20	227.00	...	-165.00	10 of 11 - Option sale to close-call ²⁵
	1.000	61.99	11/17/20	222.00	...	-160.01	11 of 11 - Option sale to close-call ²⁵
11/20/20	17.000	1,053.94	Various	7,766.14	...	-6,712.20	Total of 11 transactions
	7 transactions for 11/20/20. Total proceeds and cost reported to the IRS.						
	5.000	399.98	11/17/20	1,440.00	1,040.02 W	0.00	1 of 7 - Option sale to close-call ²⁵
	5.000	399.98	11/17/20	1,320.00	920.02 W	0.00	2 of 7 - Option sale to close-call ²⁵
	5.000	404.98	11/17/20	2,340.02	1,935.04 W	0.00	3 of 7 - Option sale to close-call ²⁵
	5.000	404.98	11/17/20	2,030.02	1,625.04 W	0.00	4 of 7 - Option sale to close-call ²⁵
	1.000	73.98	11/17/20	609.01	535.03 W	0.00	5 of 7 - Option sale to close-call ²⁵
	1.000	73.98	11/17/20	609.01	535.03 W	0.00	6 of 7 - Option sale to close-call ²⁵
	1.000	73.98	11/17/20	609.01	535.03 W	0.00	7 of 7 - Option sale to close-call ²⁵
11/20/20	23.000	1,831.86	Various	8,957.07	7,125.21 W	0.00	Total of 7 transactions
	Security total:	2,885.80		16,723.21	7,125.21 W	-6,712.20	
MSFT 11/27/2020 CALL \$220.00 / CUSIP: / Symbol:							
	3 transactions for 11/18/20. Total proceeds and cost reported to the IRS.						
	4.000	383.98	11/16/20	728.00	...	-344.02	1 of 3 - Option sale to close-call ²⁵
	4.000	383.98	11/17/20	548.00	...	-164.02	2 of 3 - Option sale to close-call ²⁵
	1.000	96.00	11/17/20	223.02	...	-127.02	3 of 3 - Option sale to close-call ²⁵
11/18/20	9.000	863.96	Various	1,499.02	...	-635.06	Total of 3 transactions
11/18/20	1.000	95.98	11/16/20	182.00	86.02 W	0.00	Option sale to close-call ²⁵
	Security total:	959.94		1,681.02	86.02 W	-635.06	
MSFT 12/04/2020 CALL \$217.50 / CUSIP: / Symbol:							
11/19/20	1.000	217.98	11/18/20	211.00	...	6.98	Option sale to close-call ²⁵

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(continued)

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MSFT 12/11/2020 CALL \$212.50 / CUSIP: / Symbol:							
11/25/20	2.000	1,039.96	11/20/20	910.00	...	129.96	Option sale to close-call ²⁵
MSFT 12/11/2020 CALL \$215.00 / CUSIP: / Symbol:							
3 transactions for 11/11/20. Total proceeds and cost reported to the IRS.							
	1.000	699.98	11/10/20	490.00	...	209.98	1 of 3 - Option sale to close-call ²⁵
	4.000	2,799.93	11/10/20	1,960.00	...	839.93	2 of 3 - Option sale to close-call ²⁵
	5.000	3,524.91	11/10/20	2,450.00	...	1,074.91	3 of 3 - Option sale to close-call ²⁵
11/11/20	10.000	7,024.82	Various	4,900.00	...	2,124.82	Total of 3 transactions
MSFT 12/24/2020 CALL \$215.00 / CUSIP: / Symbol:							
12/01/20	5.000	2,649.93	11/30/20	2,300.00	...	349.93	Option sale to close-call ²⁵
MSFT 12/31/2020 CALL \$215.00 / CUSIP: / Symbol:							
12/01/20	10.000	6,149.84	11/30/20	5,600.00	...	549.84	Option sale to close-call ²⁵
MSFT 12/31/2020 CALL \$220.00 / CUSIP: / Symbol:							
4 transactions for 11/27/20. Total proceeds and cost reported to the IRS.							
	1.000	454.99	11/25/20	410.00	...	44.99	1 of 4 - Option sale to close-call ²⁵
	1.000	454.99	11/25/20	410.00	...	44.99	2 of 4 - Option sale to close-call ²⁵
	2.000	909.97	11/25/20	820.00	...	89.97	3 of 4 - Option sale to close-call ²⁵
	6.000	2,729.92	11/25/20	2,370.00	...	359.92	4 of 4 - Option sale to close-call ²⁵
11/27/20	10.000	4,549.87	Various	4,010.00	...	539.87	Total of 4 transactions
NIO 07/31/2020 CALL \$15.00 / CUSIP: / Symbol:							
07/09/20	1.000	251.98	07/08/20	305.00	...	-53.02	Option sale to close-call ²⁵
RCL 10/16/2020 CALL \$64.00 / CUSIP: / Symbol:							
09/23/20	1.000	524.97	09/22/20	430.00	...	94.97	Option sale to close-call ²⁵
SM 09/18/2020 CALL \$2.50 / CUSIP: / Symbol:							
9 transactions for 09/18/20. Total proceeds and cost reported to the IRS.							
	5.000	0.00	08/27/20	150.00	...	-150.00	1 of 9 - Option expiration- long call
	5.000	0.00	08/27/20	150.00	...	-150.00	2 of 9 - Option expiration- long call
	6.000	0.00	09/01/20	90.00	...	-90.00	3 of 9 - Option expiration- long call
	2.000	0.00	09/01/20	40.00	...	-40.00	4 of 9 - Option expiration- long call

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SM 09/18/2020 CALL \$2.50 / CUSIP: / Symbol: (cont'd)							
	25.000	0.00	09/02/20	225.00	...	-225.00	5 of 9 - Option expiration- long call
	23.000	0.00	09/03/20	230.00	...	-230.00	6 of 9 - Option expiration- long call
	10.000	0.00	09/03/20	90.00	...	-90.00	7 of 9 - Option expiration- long call
	4.000	0.00	09/03/20	32.00	...	-32.00	8 of 9 - Option expiration- long call
	20.000	0.00	09/10/20	40.00	...	-40.00	9 of 9 - Option expiration- long call
09/18/20	100.000	0.00	Various	1,047.00	...	-1,047.00	Total of 9 transactions
SM 10/16/2020 CALL \$2.50 / CUSIP: / Symbol:							
8 transactions for 10/16/20. Total proceeds and cost reported to the IRS.							
	10.000	0.00	09/01/20	350.00	...	-350.00	1 of 8 - Option expiration- long call
	10.000	0.00	09/02/20	300.00	...	-300.00	2 of 8 - Option expiration- long call
	8.000	0.00	09/02/20	200.00	...	-200.00	3 of 8 - Option expiration- long call
	2.000	0.00	09/18/20	40.00	...	-40.00	4 of 8 - Option expiration- long call
	6.000	0.00	09/22/20	78.00	...	-78.00	5 of 8 - Option expiration- long call
	4.000	0.00	09/22/20	60.00	...	-60.00	6 of 8 - Option expiration- long call
	1.000	0.00	09/25/20	10.00	...	-10.00	7 of 8 - Option expiration- long call
	1.000	0.00	09/25/20	10.00	...	-10.00	8 of 8 - Option expiration- long call
10/16/20	42.000	0.00	Various	1,048.00	...	-1,048.00	Total of 8 transactions
SM 11/20/2020 CALL \$2.50 / CUSIP: / Symbol:							
5 transactions for 11/16/20. Total proceeds and cost reported to the IRS.							
	5.000	99.99	09/01/20	275.00	...	-175.01	1 of 5 - Option sale to close-call ²⁵
	3.000	59.99	09/25/20	60.00	...	-0.01	2 of 5 - Option sale to close-call ²⁵
	1.000	20.00	10/15/20	10.00	...	10.00	3 of 5 - Option sale to close-call ²⁵
	1.000	20.00	10/16/20	5.00	...	15.00	4 of 5 - Option sale to close-call ²⁵
	2.000	39.99	10/16/20	10.00	...	29.99	5 of 5 - Option sale to close-call ²⁵
11/16/20	12.000	239.97	Various	360.00	...	-120.03	Total of 5 transactions
SM 11/20/2020 CALL \$5.00 / CUSIP: / Symbol:							
6 transactions for 11/20/20. Total proceeds and cost reported to the IRS.							
	4.000	0.00	08/03/20	100.00	...	-100.00	1 of 6 - Option expiration- long call
	3.000	0.00	08/31/20	30.00	...	-30.00	2 of 6 - Option expiration- long call
	1.000	0.00	09/21/20	4.00	...	-4.00	3 of 6 - Option expiration- long call
	3.000	0.00	09/22/20	6.00	...	-6.00	4 of 6 - Option expiration- long call

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Account 115422180

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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SM 11/20/2020 CALL \$5.00 / CUSIP: / Symbol: (cont'd)							
	1.000	0.00	09/22/20	4.00	...	-4.00	5 of 6 - Option expiration- long call
	1.000	0.00	09/25/20	3.00	...	-3.00	6 of 6 - Option expiration- long call
11/20/20	13.000	0.00	Various	147.00	...	-147.00	Total of 6 transactions
TSLA 11/20/2020 CALL \$410.00 / CUSIP: / Symbol:							
11/17/20	2.000	9,399.78	11/16/20	1,510.00	...	7,889.78	Option sale to close-call ²⁵
TSLA 11/27/2020 CALL \$410.00 / CUSIP: / Symbol:							
2 transactions for 11/17/20. Total proceeds and cost reported to the IRS.							
	1.000	4,959.88	11/16/20	1,235.00	...	3,724.88	1 of 2 - Option sale to close-call ²⁵
	1.000	4,959.88	11/16/20	1,235.00	...	3,724.88	2 of 2 - Option sale to close-call ²⁵
11/17/20	2.000	9,919.76	Various	2,470.00	...	7,449.76	Total of 2 transactions
AMC ENTERTAINMENT HOLDINGS, IN C. / CUSIP: 00165C104 / Symbol:							
3 transactions for 05/01/20. Total proceeds and cost reported to the IRS.							
	35.000	158.20	04/30/20	186.02	...	-27.82	1 of 3 - Sale ²⁵
	5.000	22.32	04/30/20	24.50	...	-2.18	2 of 3 - Sale ²⁵
	5.000	22.60	04/30/20	24.50	...	-1.90	3 of 3 - Sale ²⁵
05/01/20	45.000	203.12	Various	235.02	...	-31.90	Total of 3 transactions
05/01/20	35.000	156.28	04/30/20	170.80	14.52 W	0.00	Sale ²⁵
	Security total:	359.40		405.82	14.52 W	-31.90	
AMERICAN AIRLINES GROUP INC. C OMMON STOCK / CUSIP: 02376R102 / Symbol:							
05/01/20	1.000	11.09	04/29/20	13.57	...	-2.48	Sale ²⁵
2 transactions for 05/01/20. Total proceeds and cost reported to the IRS.							
	4.000	44.37	04/29/20	49.52	1.29 W	-3.86	1 of 2 - Sale ²⁵
	5.000	55.96	04/29/20	61.89	5.93 W	0.00	2 of 2 - Sale ²⁵
05/01/20	9.000	100.33	Various	111.41	7.22 W	-3.86	Total of 2 transactions
2 transactions for 05/06/20. Total proceeds and cost reported to the IRS.							
	4.000	36.93	05/04/20	42.80	...	-5.87	1 of 2 - Sale ²⁵
	1.000	9.23	05/04/20	10.81	...	-1.58	2 of 2 - Sale ²⁵
05/06/20	5.000	46.16	Various	53.61	...	-7.45	Total of 2 transactions
	Security total:	157.58		178.59	7.22 W	-13.79	

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Account 115422180

Proceeds from Broker and Barter Exchange Transactions

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(continued)

02/14/2021

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APPLE INC. COMMON STOCK / CUSIP: 037833100 / Symbol:							
04/02/20	1.000	238.01	03/30/20	249.90	...	-11.89	Sale ²⁵
AURORA CANNABIS INC. COMMON SH ARES / CUSIP: 05156X108 / Symbol:							
<i>3 transactions for 04/28/20. Total proceeds and cost reported to the IRS.</i>							
	50.000	37.57	04/13/20	37.35	...	0.22	1 of 3 - Sale ²⁵
	100.000	75.14	04/13/20	74.65	...	0.49	2 of 3 - Sale ²⁵
	200.000	150.27	04/15/20	142.18	...	8.09	3 of 3 - Sale ²⁵
04/28/20	350.000	262.98	Various	254.18	...	8.80	Total of 3 transactions
<i>2 transactions for 04/28/20. Total proceeds and cost reported to the IRS.</i>							
	50.000	37.57	04/13/20	38.64	1.07 W	0.00	1 of 2 - Sale ²⁵
	100.000	75.14	04/14/20	76.00	0.86 W	0.00	2 of 2 - Sale ²⁵
04/28/20	150.000	112.71	Various	114.64	1.93 W	0.00	Total of 2 transactions
<i>5 transactions for 04/29/20. Total proceeds and cost reported to the IRS.</i>							
	1.000	0.75	04/28/20	0.75	...	0.00	1 of 5 - Sale ²⁵
	1.000	0.76	04/28/20	0.72	...	0.04	2 of 5 - Sale ²⁵
	14.000	10.54	04/28/20	10.10	...	0.44	3 of 5 - Sale ²⁵
	50.000	37.65	04/28/20	37.16	...	0.49	4 of 5 - Sale ²⁵
	100.000	75.31	04/28/20	73.03	...	2.28	5 of 5 - Sale ²⁵
04/29/20	166.000	125.01	Various	121.76	...	3.25	Total of 5 transactions
	Security total:	500.70		490.58	1.93 W	12.05	
AURORA CANNABIS INC. COMMON SH ARES / CUSIP: 05156X884 / Symbol:							
<i>2 transactions for 05/11/20. Total proceeds and cost reported to the IRS.</i>							
	150.000	1,143.74	05/08/20	1,190.34	...	-46.60	1 of 2 - Sale ²⁵
	100.000	762.50	05/08/20	793.56	...	-31.06	2 of 2 - Sale ²⁵
05/11/20	250.000	1,906.24	Various	1,983.90	...	-77.66	Total of 2 transactions
BANK OF AMERICA CORPORATION / CUSIP: 060505104 / Symbol:							
03/26/20	5.000	107.56	03/17/20	105.30	...	2.26	Sale ²⁵
03/27/20	4.000	85.09	03/17/20	84.24	...	0.85	Sale ²⁵
04/15/20	5.000	112.85	04/14/20	118.00	...	-5.15	Sale ²⁵
	Security total:	305.50		307.54	...	-2.04	

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Account 115422180

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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BOEING COMPANY / CUSIP: 097023105 / Symbol:							
2 transactions for 04/15/20. Total proceeds and cost reported to the IRS.							
	4.000	550.34	04/14/20	583.35	33.01 W	0.00	1 of 2 - Sale ²⁵
	1.000	137.58	04/14/20	145.75	8.17 W	0.00	2 of 2 - Sale ²⁵
04/15/20	5.000	687.92	Various	729.10	41.18 W	0.00	Total of 2 transactions
05/01/20	1.000	137.61	04/20/20	152.50	14.89 W	0.00	Sale ²⁵
7 transactions for 05/15/20. Total proceeds and cost reported to the IRS.							
	2.000	238.22	04/20/20	305.01	66.79 W	0.00	1 of 7 - Sale ²⁵
	1.000	119.11	04/20/20	152.39	33.28 W	0.00	2 of 7 - Sale ²⁵
	1.000	119.56	04/20/20	177.01	57.45 W	0.00	3 of 7 - Sale ²⁵
	1.000	119.56	04/20/20	158.51	38.95 W	0.00	4 of 7 - Sale ²⁵
	1.000	119.56	04/20/20	151.79	32.23 W	0.00	5 of 7 - Sale ²⁵
	1.000	119.56	04/21/20	172.39	52.83 W	0.00	6 of 7 - Sale ²⁵
	1.000	119.57	04/21/20	172.28	52.71 W	0.00	7 of 7 - Sale ²⁵
05/15/20	8.000	955.14	Various	1,289.38	334.24 W	0.00	Total of 7 transactions
2 transactions for 06/05/20. Total proceeds and cost reported to the IRS.							
	1.000	200.74	04/21/20	196.46	...	4.28	1 of 2 - Sale ²⁵
	1.000	200.74	04/21/20	177.95	...	22.79	2 of 2 - Sale ²⁵
06/05/20	2.000	401.48	Various	374.41	...	27.07	Total of 2 transactions
6 transactions for 06/23/20. Total proceeds and cost reported to the IRS.							
	1.000	185.37	04/21/20	192.01	...	-6.64	1 of 6 - Sale ²⁵
	1.000	185.37	04/21/20	171.24	...	14.13	2 of 6 - Sale ²⁵
	1.000	185.37	04/21/20	139.00	...	46.37	3 of 6 - Sale ²⁵
	1.000	185.37	04/28/20	183.60	...	1.77	4 of 6 - Sale ²⁵
	1.000	185.37	04/28/20	130.89	...	54.48	5 of 6 - Sale ²⁵
	3.000	556.11	05/14/20	360.51	...	195.60	6 of 6 - Sale ²⁵
06/23/20	8.000	1,482.96	Various	1,177.25	...	305.71	Total of 6 transactions
09/23/20	1.000	158.34	09/22/20	155.86	...	2.48	Sale ²⁵
	Security total:	3,823.45		3,878.50	390.31 W	335.26	
BRICKELL BIOTECH, INC. COMMON STOCK / CUSIP: 10802T105 / Symbol:							
08/25/20	100.000	89.99	08/25/20	98.40	...	-8.41	Sale ²⁵
CIIG MERGER CORP. CLASS A COMM ON STOCK / CUSIP: 12559C103 / Symbol:							
11/23/20	25.000	485.00	11/20/20	421.41	...	63.59	Sale ²⁵

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Account 115422180

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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CALLON PETROLEUM COMPANY / CUSIP: 13123X102 / Symbol:							
05/04/20	400.000	333.07	04/20/20	165.92	...	167.15	Sale ²⁵
	<i>10 transactions for 05/06/20. Total proceeds and cost reported to the IRS.</i>						
	42.000	31.70	04/20/20	17.42	...	14.28	1 of 10 - Sale ²⁵
	58.000	46.18	04/20/20	24.06	...	22.12	2 of 10 - Sale ²⁵
	3.000	2.26	04/21/20	1.21	...	1.05	3 of 10 - Sale ²⁵
	68.000	51.33	04/21/20	27.42	...	23.91	4 of 10 - Sale ²⁵
	4.000	3.02	04/28/20	2.38	...	0.64	5 of 10 - Sale ²⁵
	15.000	11.32	04/28/20	8.93	...	2.39	6 of 10 - Sale ²⁵
	80.000	60.39	04/28/20	47.61	...	12.78	7 of 10 - Sale ²⁵
	88.000	66.44	04/28/20	52.40	...	14.04	8 of 10 - Sale ²⁵
	92.000	69.46	04/28/20	54.78	...	14.68	9 of 10 - Sale ²⁵
	8.000	6.04	04/30/20	8.72	...	-2.68	10 of 10 - Sale ²⁵
05/06/20	458.000	348.14	Various	244.93	...	103.21	Total of 10 transactions
	Security total:	681.21		410.85	...	270.36	
CALLON PETROLEUM COMPANY / CUSIP: 13123X508 / Symbol:							
	<i>7 transactions for 09/10/20. Total proceeds and cost reported to the IRS.</i>						
	9.000	48.53	07/24/20	121.28	...	-72.75	1 of 7 - Sale ²⁵
	1.000	5.39	07/24/20	13.48	...	-8.09	2 of 7 - Sale ²⁵
	5.000	26.97	07/27/20	66.88	...	-39.91	3 of 7 - Sale ²⁵
	1.000	5.39	07/27/20	13.37	...	-7.98	4 of 7 - Sale ²⁵
	0.200	1.08	07/27/20	2.62	...	-1.54	5 of 7 - Sale ²⁵
	10.000	52.40	08/03/20	116.76	...	-64.36	6 of 7 - Sale ²⁵
	3.800	20.49	08/03/20	44.37	...	-23.88	7 of 7 - Sale ²⁵
09/10/20	30.000	160.25	Various	378.76	...	-218.51	Total of 7 transactions
CAMBER ENERGY, INC / CUSIP: 13200M508 / Symbol:							
05/15/20	2.000	2.48	05/11/20	3.06	...	-0.58	Sale ²⁵
CATALYST PHARMACEUTICALS, INC. COMMON STOCK / CUSIP: 14888U101 / Symbol:							
	<i>2 transactions for 09/03/20. Total proceeds and cost reported to the IRS.</i>						
	100.000	319.99	09/01/20	318.74	...	1.25	1 of 2 - Sale ²⁵
	4.000	12.80	09/02/20	12.42	...	0.38	2 of 2 - Sale ²⁵
09/03/20	104.000	332.79	Various	331.16	...	1.63	Total of 2 transactions

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(continued)

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CHINA RECYCLING ENERGY CORPORATION COMMON STOCK / CUSIP: 168913309 / Symbol:							
2 transactions for 04/15/20. Total proceeds and cost reported to the IRS.							
	10.000	26.70	04/14/20	27.40	...	-0.70	1 of 2 - Sale ²⁵
	5.000	13.35	04/14/20	12.60	...	0.75	2 of 2 - Sale ²⁵
04/15/20	15.000	40.05	Various	40.00	...	0.05	Total of 2 transactions
DAVE & BUSTER'S ENTERTAINMENT, INC. COMMON STOCK / CUSIP: 238337109 / Symbol:							
2 transactions for 05/20/20. Total proceeds and cost reported to the IRS.							
	5.000	57.96	05/11/20	56.07	...	1.89	1 of 2 - Sale ²⁵
	5.000	58.01	05/11/20	56.08	...	1.93	2 of 2 - Sale ²⁵
05/20/20	10.000	115.97	Various	112.15	...	3.82	Total of 2 transactions
DELTA AIR LINES, INC. / CUSIP: 247361702 / Symbol:							
2 transactions for 04/15/20. Total proceeds and cost reported to the IRS.							
	1.000	24.02	04/13/20	22.69	...	1.33	1 of 2 - Sale ²⁵
	9.000	227.44	04/13/20	204.21	...	23.23	2 of 2 - Sale ²⁵
04/15/20	10.000	251.46	Various	226.90	...	24.56	Total of 2 transactions
9 transactions for 05/07/20. Total proceeds and cost reported to the IRS.							
	1.000	21.45	05/06/20	21.03	...	0.42	1 of 9 - Sale ²⁵
	1.000	21.44	05/06/20	20.87	...	0.57	2 of 9 - Sale ²⁵
	1.000	21.57	05/06/20	20.89	...	0.68	3 of 9 - Sale ²⁵
	1.000	21.57	05/06/20	20.86	...	0.71	4 of 9 - Sale ²⁵
	2.000	43.14	05/06/20	41.70	...	1.44	5 of 9 - Sale ²⁵
	5.000	107.21	05/06/20	105.09	...	2.12	6 of 9 - Sale ²⁵
	4.000	85.77	05/06/20	83.51	...	2.26	7 of 9 - Sale ²⁵
	9.000	193.07	05/06/20	189.17	...	3.90	8 of 9 - Sale ²⁵
	6.000	129.42	05/06/20	125.27	...	4.15	9 of 9 - Sale ²⁵
05/07/20	30.000	644.64	Various	628.39	...	16.25	Total of 9 transactions
7 transactions for 05/19/20. Total proceeds and cost reported to the IRS.							
	1.000	22.27	05/13/20	19.54	...	2.73	1 of 7 - Sale ²⁵
	1.000	22.27	05/14/20	19.34	...	2.93	2 of 7 - Sale ²⁵
	1.000	21.84	05/15/20	19.23	...	2.61	3 of 7 - Sale ²⁵
	9.000	196.56	05/15/20	172.98	...	23.58	4 of 7 - Sale ²⁵
	8.000	178.18	05/15/20	153.76	...	24.42	5 of 7 - Sale ²⁵

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(continued)

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DELTA AIR LINES, INC. / CUSIP: 247361702 / Symbol: (cont'd)							
	1.000	21.84	05/19/20	21.65	...	0.19	6 of 7 - Sale ²⁵
	9.000	196.56	05/19/20	194.72	...	1.84	7 of 7 - Sale ²⁵
05/19/20	30.000	659.52	Various	601.22	...	58.30	Total of 7 transactions
06/09/20	10.000	338.84	05/22/20	226.70	...	112.14	Sale ²⁵
	Security total:	1,894.46		1,683.21	...	211.25	
DIREXION DAILY S&P OIL & GAS E XP. & PROD. BULL 2X SHARES / CUSIP: 25460G500 / Symbol:							
05/21/20	2.000	73.62	05/19/20	71.70	...	1.92	Sale ²⁵
05/29/20	2.000	70.72	05/19/20	71.69	...	-0.97	Sale ²⁵
05/29/20	8.000	282.88	05/19/20	286.78	2.44 W	-1.46	Sale ²⁵
	2 transactions for 06/24/20. Total proceeds and cost reported to the IRS.						
	4.000	136.93	06/09/20	230.59	...	-93.66	1 of 2 - Sale ²⁵
	1.000	34.95	06/09/20	57.65	...	-22.70	2 of 2 - Sale ²⁵
06/24/20	5.000	171.88	Various	288.24	...	-116.36	Total of 2 transactions
	Security total:	599.10		718.41	2.44 W	-116.87	
DIREXION DAILY JUNIOR GOLD MIN ERS INDEX BEAR 2X SHARES / CUSIP: 25460G807 / Symbol:							
	3 transactions for 06/11/20. Total proceeds and cost reported to the IRS.						
	1.000	21.68	05/19/20	19.42	...	2.26	1 of 3 - Sale ²⁵
	3.000	65.05	05/19/20	58.26	...	6.79	2 of 3 - Sale ²⁵
	6.000	130.09	05/19/20	116.27	...	13.82	3 of 3 - Sale ²⁵
06/11/20	10.000	216.82	Various	193.95	...	22.87	Total of 3 transactions
	3 transactions for 07/27/20. Total proceeds and cost reported to the IRS.						
	5.000	52.00	05/19/20	96.89	44.89 W	0.00	1 of 3 - Sale ²⁵
	3.000	31.20	05/19/20	59.15	27.95 W	0.00	2 of 3 - Sale ²⁵
	17.000	176.80	05/29/20	352.22	175.42 W	0.00	3 of 3 - Sale ²⁵
07/27/20	25.000	260.00	Various	508.26	248.26 W	0.00	Total of 3 transactions
09/11/20	2.000	20.62	05/29/20	41.44	20.82 W	0.00	Sale ²⁵
	8 transactions for 09/17/20. Total proceeds and cost reported to the IRS.						
	3.000	28.86	06/05/20	69.02	...	-40.16	1 of 8 - Sale ²⁵
	20.000	192.43	06/22/20	380.12	...	-187.69	2 of 8 - Sale ²⁵
	6.000	57.73	06/22/20	114.64	...	-56.91	3 of 8 - Sale ²⁵
	9.000	86.59	06/23/20	163.44	...	-76.85	4 of 8 - Sale ²⁵

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Account 115422180

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2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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

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DIREXION DAILY JUNIOR GOLD MIN ERS INDEX BEAR 2X SHARES / CUSIP: 25460G807 / Symbol: (cont'd)							
	5.000	48.11	06/23/20	91.50	...	-43.39	5 of 8 - Sale ²⁵
	27.000	260.38	06/24/20	510.30	...	-249.92	6 of 8 - Sale ²⁵
	23.000	221.80	06/24/20	418.97	...	-197.17	7 of 8 - Sale ²⁵
	7.000	67.34	06/24/20	127.51	...	-60.17	8 of 8 - Sale ²⁵
09/17/20	100.000	963.24	Various	1,875.50	...	-912.26	Total of 8 transactions
	5 transactions for 09/17/20. Total proceeds and cost reported to the IRS.						
	13.000	124.56	05/29/20	269.34	144.78 W	0.00	1 of 5 - Sale ²⁵
	24.000	229.97	06/03/20	531.76	301.79 W	0.00	2 of 5 - Sale ²⁵
	1.000	9.58	06/04/20	21.54	11.96 W	0.00	3 of 5 - Sale ²⁵
	1.000	9.58	06/04/20	21.33	11.75 W	0.00	4 of 5 - Sale ²⁵
	11.000	105.41	06/05/20	253.08	120.82 W	-26.85	5 of 5 - Sale ²⁵
09/17/20	50.000	479.10	Various	1,097.05	591.10 W	-26.85	Total of 5 transactions
	17 transactions for 09/18/20. Total proceeds and cost reported to the IRS.						
	50.000	477.01	06/24/20	944.99	...	-467.98	1 of 17 - Sale ²⁵
	5.000	47.17	06/24/20	94.54	...	-47.37	2 of 17 - Sale ²⁵
	3.000	28.30	06/24/20	56.70	...	-28.40	3 of 17 - Sale ²⁵
	5.000	47.17	06/30/20	131.07	...	-83.90	4 of 17 - Sale ²⁵
	3.000	28.30	06/30/20	79.66	...	-51.36	5 of 17 - Sale ²⁵
	10.000	94.33	07/06/20	268.09	...	-173.76	6 of 17 - Sale ²⁵
	2.000	18.87	07/06/20	53.55	...	-34.68	7 of 17 - Sale ²⁵
	5.000	47.17	07/08/20	123.54	...	-76.37	8 of 17 - Sale ²⁵
	5.000	47.17	07/08/20	71.95	...	-24.78	9 of 17 - Sale ²⁵
	3.000	28.30	07/08/20	43.02	...	-14.72	10 of 17 - Sale ²⁵
	7.000	66.03	07/09/20	101.98	...	-35.95	11 of 17 - Sale ²⁵
	2.000	18.86	08/06/20	19.43	...	-0.57	12 of 17 - Sale ²⁵
	24.000	225.65	09/15/20	522.47	...	-296.82	13 of 17 - Sale ²⁵
	13.000	122.22	09/15/20	264.32	...	-142.10	14 of 17 - Sale ²⁵
	2.000	18.80	09/15/20	39.21	...	-20.41	15 of 17 - Sale ²⁵
	1.000	9.41	09/15/20	21.15	...	-11.74	16 of 17 - Sale ²⁵
	1.000	9.37	09/15/20	20.94	...	-11.57	17 of 17 - Sale ²⁵
09/18/20	141.000	1,334.13	Various	2,856.61	...	-1,522.48	Total of 17 transactions
09/21/20	9.000	96.23	09/15/20	203.58	...	-107.35	Sale ²⁵

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(continued)

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DIREXION DAILY JUNIOR GOLD MIN ERS INDEX BEAR 2X SHARES / CUSIP: 25460G807 / Symbol: (cont'd)							
6 transactions for 11/09/20. Total proceeds and cost reported to the IRS.							
	5.000	50.40	11/05/20	47.13	...	3.27	1 of 6 - Sale ²⁵
	35.000	352.80	11/05/20	330.28	...	22.52	2 of 6 - Sale ²⁵
	50.000	504.98	11/05/20	478.33	...	26.65	3 of 6 - Sale ²⁵
	200.000	2,019.93	11/05/20	1,927.00	...	92.93	4 of 6 - Sale ²⁵
	250.000	2,524.91	11/05/20	2,394.58	...	130.33	5 of 6 - Sale ²⁵
	300.000	3,029.90	11/05/20	2,891.70	...	138.20	6 of 6 - Sale ²⁵
11/09/20	840.000	8,482.92	Various	8,069.02	...	413.90	Total of 6 transactions
	Security total:	11,853.06		14,845.41	860.18 W	-2,132.17	
EASTMAN KODAK COMPANY / CUSIP: 277461406 / Symbol:							
09/18/20	10.000	122.13	09/18/20	118.80	...	3.33	Sale ²⁵
ELECTRAMECCANICA VEHICLES CORP . LTD. COMMON STOCK / CUSIP: 284849205 / Symbol:							
3 transactions for 11/25/20. Total proceeds and cost reported to the IRS.							
	8.000	61.52	11/24/20	68.13	...	-6.61	1 of 3 - Sale ²⁵
	17.000	130.73	11/25/20	137.79	...	-7.06	2 of 3 - Sale ²⁵
	5.000	38.45	11/25/20	39.95	...	-1.50	3 of 3 - Sale ²⁵
11/25/20	30.000	230.70	Various	245.87	...	-15.17	Total of 3 transactions
ENDURANCE INTERNATIONAL GROUP HOLDINGS, INC. COMMON STOCK / CUSIP: 29272B105 / Symbol:							
07/14/20	10.000	48.50	07/14/20	48.40	...	0.10	Sale ²⁵
FISKER INC. / CUSIP: 33813J106 / Symbol:							
2 transactions for 11/12/20. Total proceeds and cost reported to the IRS.							
	2.000	30.31	11/11/20	28.00	...	2.31	1 of 2 - Sale ²⁵
	6.000	90.93	11/11/20	84.00	...	6.93	2 of 2 - Sale ²⁵
11/12/20	8.000	121.24	Various	112.00	...	9.24	Total of 2 transactions
11/23/20	50.000	821.98	11/20/20	816.25	...	5.73	Sale ²⁵
4 transactions for 11/25/20. Total proceeds and cost reported to the IRS.							
	1.000	18.72	11/24/20	15.95	...	2.77	1 of 4 - Sale ²⁵
	10.000	187.00	11/24/20	159.57	...	27.43	2 of 4 - Sale ²⁵
	40.000	748.78	11/24/20	638.28	...	110.50	3 of 4 - Sale ²⁵

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2020 1099-B* OMB No. 1545-0715

(continued)

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FISKER INC. / CUSIP: 33813J106 / Symbol: (cont'd)							
	49.000	917.25	11/24/20	781.89	...	135.36	4 of 4 - Sale ²⁵
11/25/20	100.000	1,871.75	Various	1,595.69	...	276.06	Total of 4 transactions
	6 transactions for 11/30/20. Total proceeds and cost reported to the IRS.						
	15.000	293.02	11/27/20	336.81	...	-43.79	1 of 6 - Sale ²⁵
	70.000	1,367.06	11/30/20	1,483.41	...	-116.35	2 of 6 - Sale ²⁵
	15.000	293.01	11/30/20	339.53	...	-46.52	3 of 6 - Sale ²⁵
	15.000	292.94	11/30/20	317.86	...	-24.92	4 of 6 - Sale ²⁵
	10.000	195.29	11/30/20	211.97	...	-16.68	5 of 6 - Sale ²⁵
	5.000	97.65	11/30/20	107.00	...	-9.35	6 of 6 - Sale ²⁵
11/30/20	130.000	2,538.97	Various	2,796.58	...	-257.61	Total of 6 transactions
	3 transactions for 11/30/20. Total proceeds and cost reported to the IRS.						
	70.000	1,367.41	11/27/20	1,479.80	109.18 W	-3.21	1 of 3 - Sale ²⁵
	100.000	1,960.44	11/27/20	2,114.00	153.56 W	0.00	2 of 3 - Sale ²⁵
	30.000	587.98	11/27/20	634.20	46.22 W	0.00	3 of 3 - Sale ²⁵
11/30/20	200.000	3,915.83	Various	4,228.00	308.96 W	-3.21	Total of 3 transactions
12/16/20	68.000	1,041.79	12/16/20	1,120.79	...	-79.00	Sale ²⁵
	Security total:	10,311.56		10,669.31	308.96 W	-48.79	
GBS INC. COMMON STOCK / CUSIP: 36151G105 / Symbol:							
12/24/20	8.000	80.24	12/24/20	99.20	...	-18.96	Sale ²⁵
GENERAL ELECTRIC COMPANY / CUSIP: 369604103 / Symbol:							
04/14/20	25.000	173.75	04/14/20	174.00	0.01 W	-0.24	Sale ²⁵
05/14/20	1.000	5.58	05/13/20	5.53	...	0.05	Sale ²⁵
	Security total:	179.33		179.53	0.01 W	-0.19	
GENIUS BRANDS INTERNATIONAL, I NC. COMMON STOCK / CUSIP: 37229T301 / Symbol:							
	3 transactions for 06/08/20. Total proceeds and cost reported to the IRS.						
	3.000	15.51	06/05/20	24.69	...	-9.18	1 of 3 - Sale ²⁵
	5.000	25.85	06/05/20	33.85	...	-8.00	2 of 3 - Sale ²⁵
	1.000	5.17	06/08/20	6.97	...	-1.80	3 of 3 - Sale ²⁵
06/08/20	9.000	46.53	Various	65.51	...	-18.98	Total of 3 transactions
06/08/20	30.000	154.81	06/05/20	203.10	6.44 W	-41.85	Sale ²⁵
	Security total:	201.34		268.61	6.44 W	-60.83	

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(continued)

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GERON CORPORATION COMMON STOCK / CUSIP: 374163103 / Symbol:							
11/20/20	75.000	136.87	11/19/20	136.88	...	-0.01	Sale ²⁵
GEVO, INC. COMMON STOCK / CUSIP: 374396406 / Symbol:							
08/20/20	1.000	1.74	08/20/20	1.32	...	0.42	Sale ²⁵
08/25/20	100.000	149.99	08/21/20	147.00	...	2.99	Sale ²⁵
	Security total:	151.73		148.32	...	3.41	
GROUPON, INC. COMMON STOCK / CUSIP: 399473107 / Symbol:							
<i>2 transactions for 04/20/20. Total proceeds and cost reported to the IRS.</i>							
	100.000	96.55	04/14/20	88.77	...	7.78	1 of 2 - Sale ²⁵
	100.000	96.55	04/15/20	77.98	...	18.57	2 of 2 - Sale ²⁵
04/20/20	200.000	193.10	Various	166.75	...	26.35	Total of 2 transactions
HANCOCK JAFFE LABORATORIES, IN C. COMMON STOCK / CUSIP: 41015N106 / Symbol:							
<i>2 transactions for 08/26/20. Total proceeds and cost reported to the IRS.</i>							
	40.000	16.71	08/21/20	22.40	...	-5.69	1 of 2 - Sale ²⁵
	8.000	3.34	08/21/20	3.71	...	-0.37	2 of 2 - Sale ²⁵
08/26/20	48.000	20.05	Various	26.11	...	-6.06	Total of 2 transactions
HERTZ GLOBAL HOLDINGS, INC. COMMON STOCK / CUSIP: 42806J106 / Symbol:							
06/24/20	1,100.000	1,759.83	06/23/20	1,317.47	...	442.36	Sale ²⁵
<i>2 transactions for 06/30/20. Total proceeds and cost reported to the IRS.</i>							
	98.000	140.62	06/29/20	142.09	...	-1.47	1 of 2 - Sale ²⁵
	2.000	2.87	06/29/20	2.90	...	-0.03	2 of 2 - Sale ²⁵
06/30/20	100.000	143.49	Various	144.99	...	-1.50	Total of 2 transactions
09/16/20	5.000	6.86	09/15/20	6.84	...	0.02	Sale ²⁵
09/28/20	600.000	738.87	09/25/20	730.50	...	8.37	Sale ²⁵
10/01/20	3.000	3.30	09/30/20	3.20	...	0.10	Sale ²⁵
	Security total:	2,652.35		2,203.00	...	449.35	

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ICICI BANK LIMITED / CUSIP: 45104G104 / Symbol:							
2 transactions for 05/06/20. Total proceeds and cost reported to the IRS.							
	3.000	26.43	05/05/20	26.78	...	-0.35	1 of 2 - Sale ²⁵
	1.000	8.81	05/05/20	8.93	...	-0.12	2 of 2 - Sale ²⁵
05/06/20	4.000	35.24	Various	35.71	...	-0.47	Total of 2 transactions
IDEANOMICS, INC. COMMON STOCK / CUSIP: 45166V106 / Symbol:							
4 transactions for 04/28/20. Total proceeds and cost reported to the IRS.							
	1.000	0.73	04/14/20	0.76	...	-0.03	1 of 4 - Sale ²⁵
	59.000	42.80	04/15/20	40.13	...	2.67	2 of 4 - Sale ²⁵
	100.000	72.56	04/15/20	69.59	...	2.97	3 of 4 - Sale ²⁵
	4.000	2.90	04/17/20	2.64	...	0.26	4 of 4 - Sale ²⁵
04/28/20	164.000	118.99	Various	113.12	...	5.87	Total of 4 transactions
08/26/20	10.000	12.75	08/12/20	12.85	...	-0.10	Sale ²⁵
	Security total:	131.74		125.97	...	5.77	
INDIA GLOBALIZATION CAPITAL, I NC. / CUSIP: 45408X308 / Symbol:							
3 transactions for 04/16/20. Total proceeds and cost reported to the IRS.							
	30.000	14.71	04/15/20	15.45	...	-0.74	1 of 3 - Sale ²⁵
	12.000	5.88	04/15/20	5.94	...	-0.06	2 of 3 - Sale ²⁵
	2.000	0.98	04/15/20	1.03	...	-0.05	3 of 3 - Sale ²⁵
04/16/20	44.000	21.57	Various	22.42	...	-0.85	Total of 3 transactions
INVESCO MORTGAGE CAPITAL INC. / CUSIP: 46131B100 / Symbol:							
3 transactions for 05/06/20. Total proceeds and cost reported to the IRS.							
	2.000	5.60	05/04/20	5.56	...	0.04	1 of 3 - Sale ²⁵
	48.000	134.52	05/04/20	132.96	...	1.56	2 of 3 - Sale ²⁵
	48.000	135.48	05/04/20	132.96	...	2.52	3 of 3 - Sale ²⁵
05/06/20	98.000	275.60	Various	271.48	...	4.12	Total of 3 transactions
05/06/20	2.000	5.64	05/01/20	5.66	0.02 W	0.00	Sale ²⁵
3 transactions for 06/03/20. Total proceeds and cost reported to the IRS.							
	10.000	28.92	06/02/20	28.68	...	0.24	1 of 3 - Sale ²⁵
	85.000	245.84	06/02/20	243.53	...	2.31	2 of 3 - Sale ²⁵

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INVESCO MORTGAGE CAPITAL INC. / CUSIP: 46131B100 / Symbol: (cont'd)							
	100.000	289.22	06/02/20	286.50	...	2.72	3 of 3 - Sale ²⁵
06/03/20	195.000	563.98	Various	558.71	...	5.27	Total of 3 transactions
	Security total:	845.22		835.85	0.02 W	9.39	
KIRKLAND'S, INC. COMMONSTOCK / CUSIP: 497498105 / Symbol:							
04/15/20	60.000	46.80	02/18/20	80.86	...	-34.06	Sale ²⁵
KOSMOS ENERGY LTD. / CUSIP: 500688106 / Symbol:							
2 transactions for 05/13/20. Total proceeds and cost reported to the IRS.							
	1.000	1.48	05/07/20	1.37	...	0.11	1 of 2 - Sale ²⁵
	99.000	146.69	05/11/20	142.56	...	4.13	2 of 2 - Sale ²⁵
05/13/20	100.000	148.17	Various	143.93	...	4.24	Total of 2 transactions
05/20/20	1.000	1.75	05/11/20	1.44	...	0.31	Sale ²⁵
4 transactions for 09/23/20. Total proceeds and cost reported to the IRS.							
	80.000	94.40	09/21/20	96.00	...	-1.60	1 of 4 - Sale ²⁵
	5.000	5.90	09/21/20	5.94	...	-0.04	2 of 4 - Sale ²⁵
	2.000	2.36	09/22/20	2.32	...	0.04	3 of 4 - Sale ²⁵
	12.000	14.16	09/22/20	14.03	...	0.13	4 of 4 - Sale ²⁵
09/23/20	99.000	116.82	Various	118.29	...	-1.47	Total of 4 transactions
	Security total:	266.74		263.66	...	3.08	
MFA FINANCIAL, INC / CUSIP: 55272X102 / Symbol:							
12/01/20	10.000	37.22	11/30/20	36.68	...	0.54	Sale ²⁵
MICROSOFT CORPORATION COMMON S TOCK / CUSIP: 594918104 / Symbol:							
2 transactions for 03/27/20. Total proceeds and cost reported to the IRS.							
	2.000	304.44	02/14/20	369.03	...	-64.59	1 of 2 - Sale ²⁵
	1.000	152.25	02/14/20	184.52	...	-32.27	2 of 2 - Sale ²⁵
03/27/20	3.000	456.69	Various	553.55	...	-96.86	Total of 2 transactions

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Account 115422180

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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

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MODERNA, INC. COMMON STOCK / CUSIP: 60770K107 / Symbol:							
2 transactions for 05/14/20. Total proceeds and cost reported to the IRS.							
	4.000	250.03	05/11/20	251.36	...	-1.33	1 of 2 - Sale ²⁵
	4.000	250.03	05/11/20	237.92	...	12.11	2 of 2 - Sale ²⁵
05/14/20	8.000	500.06	Various	489.28	...	10.78	Total of 2 transactions
05/19/20	1.000	71.82	05/11/20	62.84	...	8.98	Sale ²⁵
	Security total:	571.88		552.12	...	19.76	
NIO INC. AMERICAN DEPOSITARY S HARES, EACH REPRESENTING ONE CLASS A ORDINARY SHARE / CUSIP: 62914V106 / Symbol:							
4 transactions for 04/07/20. Total proceeds and cost reported to the IRS.							
	80.000	219.99	03/27/20	225.60	...	-5.61	1 of 4 - Sale ²⁵
	50.000	137.49	03/27/20	140.50	...	-3.01	2 of 4 - Sale ²⁵
	3.000	8.25	03/27/20	8.43	...	-0.18	3 of 4 - Sale ²⁵
	2.000	5.50	03/27/20	5.60	...	-0.10	4 of 4 - Sale ²⁵
04/07/20	135.000	371.23	Various	380.13	...	-8.90	Total of 4 transactions
3 transactions for 04/07/20. Total proceeds and cost reported to the IRS.							
	34.000	93.50	03/26/20	99.96	6.46 W	0.00	1 of 3 - Sale ²⁵
	2.000	5.50	03/26/20	5.88	0.38 W	0.00	2 of 3 - Sale ²⁵
	29.000	79.75	03/27/20	80.91	0.84 W	-0.32	3 of 3 - Sale ²⁵
04/07/20	65.000	178.75	Various	186.75	7.68 W	-0.32	Total of 3 transactions
5 transactions for 04/13/20. Total proceeds and cost reported to the IRS.							
	20.000	58.60	03/27/20	60.20	...	-1.60	1 of 5 - Sale ²⁵
	14.000	41.02	03/30/20	41.16	...	-0.14	2 of 5 - Sale ²⁵
	1.000	2.93	03/30/20	2.94	...	-0.01	3 of 5 - Sale ²⁵
	1.000	2.93	04/02/20	2.67	...	0.26	4 of 5 - Sale ²⁵
	3.000	8.79	04/02/20	7.56	...	1.23	5 of 5 - Sale ²⁵
04/13/20	39.000	114.27	Various	114.53	...	-0.26	Total of 5 transactions
2 transactions for 05/06/20. Total proceeds and cost reported to the IRS.							
	1.000	3.58	04/14/20	3.06	...	0.52	1 of 2 - Sale ²⁵
	6.000	21.48	04/16/20	20.20	...	1.28	2 of 2 - Sale ²⁵
05/06/20	7.000	25.06	Various	23.26	...	1.80	Total of 2 transactions

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Robinhood Securities LLC

Account 115422180

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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NIO INC. AMERICAN DEPOSITORY S HARES, EACH REPRESENTING ONE CLASS A ORDINARY SHARE / CUSIP: 62914V106 / Symbol: (cont'd)							
2 transactions for 05/14/20. Total proceeds and cost reported to the IRS.							
	9.000	30.08	04/16/20	30.31	...	-0.23	1 of 2 - Sale ²⁵
	1.000	3.35	04/30/20	3.72	...	-0.37	2 of 2 - Sale ²⁵
05/14/20	10.000	33.43	Various	34.03	...	-0.60	Total of 2 transactions
05/20/20	1.000	3.81	04/30/20	3.72	...	0.09	Sale ²⁵
07/23/20	2.000	24.84	07/15/20	25.78	...	-0.94	Sale ²⁵
08/03/20	10.000	133.60	07/15/20	128.90	...	4.70	Sale ²⁵
	Security total:	884.99		897.10	7.68 W	-4.43	
NETFLIX, INC. COMMON STOCK / CUSIP: 64110L106 / Symbol:							
2 transactions for 04/20/20. Total proceeds and cost reported to the IRS.							
	1.000	437.15	04/15/20	419.90	...	17.25	1 of 2 - Sale ²⁵
	1.000	439.70	04/15/20	414.57	...	25.13	2 of 2 - Sale ²⁵
04/20/20	2.000	876.85	Various	834.47	...	42.38	Total of 2 transactions
NEW YORK MORTGAGE TRUST, INC. COMMON STOCK / CUSIP: 649604501 / Symbol:							
04/30/20	100.000	230.29	04/30/20	230.70	0.41 W	0.00	Sale ²⁵
9 transactions for 05/05/20. Total proceeds and cost reported to the IRS.							
	80.000	166.63	05/01/20	168.09	1.46 W	0.00	1 of 9 - Sale ²⁵
	20.000	41.66	05/01/20	41.82	0.16 W	0.00	2 of 9 - Sale ²⁵
	10.000	20.83	05/01/20	20.87	0.04 W	0.00	3 of 9 - Sale ²⁵
	42.000	87.48	05/01/20	87.66	0.18 W	0.00	4 of 9 - Sale ²⁵
	43.000	89.13	05/01/20	90.52	1.39 W	0.00	5 of 9 - Sale ²⁵
	5.000	10.36	05/01/20	10.47	0.11 W	0.00	6 of 9 - Sale ²⁵
	25.000	51.83	05/01/20	52.39	0.56 W	0.00	7 of 9 - Sale ²⁵
	7.000	14.51	05/01/20	14.67	0.16 W	0.00	8 of 9 - Sale ²⁵
	20.000	41.46	05/01/20	41.70	0.24 W	0.00	9 of 9 - Sale ²⁵
05/05/20	252.000	523.89	Various	528.19	4.30 W	0.00	Total of 9 transactions
23 transactions for 05/06/20. Total proceeds and cost reported to the IRS.							
	10.000	20.33	05/01/20	20.81	0.48 W	0.00	1 of 23 - Sale ²⁵
	28.000	56.91	05/01/20	58.28	1.37 W	0.00	2 of 23 - Sale ²⁵
	1.000	2.03	05/01/20	2.10	0.07 W	0.00	3 of 23 - Sale ²⁵
	14.000	28.45	05/01/20	29.00	0.55 W	0.00	4 of 23 - Sale ²⁵
	5.000	10.16	05/01/20	10.46	0.30 W	0.00	5 of 23 - Sale ²⁵

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Account 115422180

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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NEW YORK MORTGAGE TRUST, INC. COMMON STOCK / CUSIP: 649604501 / Symbol: (cont'd)							
	42.000	85.37	05/01/20	88.30	2.93 W	0.00	6 of 23 - Sale ²⁵
	7.000	14.23	05/01/20	14.65	0.42 W	0.00	7 of 23 - Sale ²⁵
	20.000	40.65	05/01/20	41.64	0.99 W	0.00	8 of 23 - Sale ²⁵
	25.000	50.81	05/01/20	52.31	1.50 W	0.00	9 of 23 - Sale ²⁵
	1.000	2.03	05/01/20	2.07	0.04 W	0.00	10 of 23 - Sale ²⁵
	47.000	95.53	05/01/20	97.29	1.76 W	0.00	11 of 23 - Sale ²⁵
	3.000	6.09	05/01/20	6.35	0.26 W	0.00	12 of 23 - Sale ²⁵
	1.000	2.03	05/01/20	2.12	0.09 W	0.00	13 of 23 - Sale ²⁵
	1.000	2.03	05/01/20	2.14	0.11 W	0.00	14 of 23 - Sale ²⁵
	30.000	60.90	05/01/20	64.19	3.29 W	0.00	15 of 23 - Sale ²⁵
	5.000	10.15	05/01/20	10.59	0.44 W	0.00	16 of 23 - Sale ²⁵
	14.000	28.42	05/01/20	29.53	1.11 W	0.00	17 of 23 - Sale ²⁵
	6.000	12.18	05/01/20	12.71	0.53 W	0.00	18 of 23 - Sale ²⁵
	23.000	46.69	05/01/20	48.74	2.05 W	0.00	19 of 23 - Sale ²⁵
	10.000	20.29	05/01/20	21.37	1.08 W	0.00	20 of 23 - Sale ²⁵
	2.000	4.06	05/04/20	4.21	0.15 W	0.00	21 of 23 - Sale ²⁵
	4.000	8.12	05/04/20	8.39	0.27 W	0.00	22 of 23 - Sale ²⁵
	1.000	2.03	05/04/20	2.12	0.09 W	0.00	23 of 23 - Sale ²⁵
05/06/20	300.000	609.49	Various	629.37	19.88 W	0.00	Total of 23 transactions
	11 transactions for 05/20/20. Total proceeds and cost reported to the IRS.						
	1.000	1.93	05/18/20	1.87	...	0.06	1 of 11 - Sale ²⁵
	1.000	1.92	05/18/20	1.85	...	0.07	2 of 11 - Sale ²⁵
	1.000	1.93	05/18/20	1.85	...	0.08	3 of 11 - Sale ²⁵
	1.000	1.92	05/18/20	1.84	...	0.08	4 of 11 - Sale ²⁵
	2.000	3.86	05/18/20	3.69	...	0.17	5 of 11 - Sale ²⁵
	2.000	3.86	05/18/20	3.66	...	0.20	6 of 11 - Sale ²⁵
	4.000	7.72	05/18/20	7.30	...	0.42	7 of 11 - Sale ²⁵
	6.000	11.54	05/18/20	11.08	...	0.46	8 of 11 - Sale ²⁵
	10.000	19.30	05/18/20	18.66	...	0.64	9 of 11 - Sale ²⁵
	22.000	42.30	05/18/20	40.62	...	1.68	10 of 11 - Sale ²⁵
	30.000	57.90	05/18/20	56.01	...	1.89	11 of 11 - Sale ²⁵
05/20/20	80.000	154.18	Various	148.43	...	5.75	Total of 11 transactions

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Account 115422180

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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NEW YORK MORTGAGE TRUST, INC. COMMON STOCK / CUSIP: 649604501 / Symbol: (cont'd)							
8 transactions for 05/22/20. Total proceeds and cost reported to the IRS.							
	1.000	1.99	05/18/20	1.85	...	0.14	1 of 8 - Sale ²⁵
	1.000	1.99	05/18/20	1.80	...	0.19	2 of 8 - Sale ²⁵
	5.000	9.96	05/18/20	9.23	...	0.73	3 of 8 - Sale ²⁵
	7.000	13.95	05/18/20	12.72	...	1.23	4 of 8 - Sale ²⁵
	14.000	27.90	05/18/20	25.71	...	2.19	5 of 8 - Sale ²⁵
	20.000	39.85	05/18/20	36.14	...	3.71	6 of 8 - Sale ²⁵
	25.000	49.81	05/18/20	45.44	...	4.37	7 of 8 - Sale ²⁵
	47.000	93.65	05/18/20	84.36	...	9.29	8 of 8 - Sale ²⁵
05/22/20	120.000	239.10	Various	217.25	...	21.85	Total of 8 transactions
	Security total:	1,756.95		1,753.94	24.59 W	27.60	
NIKOLA CORPORATION COMMON STOC K / CUSIP: 654110105 / Symbol:							
09/25/20	2.000	40.02	09/21/20	54.35	14.33 W	0.00	Sale ²⁵
12 transactions for 09/28/20. Total proceeds and cost reported to the IRS.							
	4.000	75.79	09/21/20	108.83	...	-33.04	1 of 12 - Sale ²⁵
	2.000	37.89	09/21/20	68.75	...	-30.86	2 of 12 - Sale ²⁵
	3.000	56.84	09/21/20	81.68	...	-24.84	3 of 12 - Sale ²⁵
	50.000	947.36	09/22/20	1,406.07	...	-458.71	4 of 12 - Sale ²⁵
	10.000	189.47	09/23/20	271.37	...	-81.90	5 of 12 - Sale ²⁵
	5.000	94.74	09/23/20	135.29	...	-40.55	6 of 12 - Sale ²⁵
	3.000	56.84	09/23/20	76.01	...	-19.17	7 of 12 - Sale ²⁵
	1.000	18.95	09/23/20	26.82	...	-7.87	8 of 12 - Sale ²⁵
	2.000	37.89	09/24/20	39.78	...	-1.89	9 of 12 - Sale ²⁵
	9.000	170.52	09/24/20	169.05	...	1.47	10 of 12 - Sale ²⁵
	1.000	18.95	09/24/20	17.08	...	1.87	11 of 12 - Sale ²⁵
	10.000	189.47	09/24/20	172.54	...	16.93	12 of 12 - Sale ²⁵
09/28/20	100.000	1,894.71	Various	2,573.27	...	-678.56	Total of 12 transactions
	Security total:	1,934.73		2,627.62	14.33 W	-678.56	
NOKIA CORPORATION / CUSIP: 654902204 / Symbol:							
11/25/20	500.000	2,050.54	11/25/20	2,042.50	...	8.04	Sale ²⁵

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(continued)

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OCUGEN, INC. COMMON STOCK / CUSIP: 67577C105 / Symbol:							
3 transactions for 12/22/20. Total proceeds and cost reported to the IRS.							
	75.000	36.58	12/22/20	35.72	...	0.86	1 of 3 - Sale ²⁵
	75.000	36.58	12/22/20	32.83	...	3.75	2 of 3 - Sale ²⁵
	650.000	316.98	12/22/20	298.22	...	18.76	3 of 3 - Sale ²⁵
12/22/20	800.000	390.14	Various	366.77	...	23.37	Total of 3 transactions
OUTLOOK THERAPEUTICS, INC. COMMON STOCK / CUSIP: 69012T206 / Symbol:							
4 transactions for 09/03/20. Total proceeds and cost reported to the IRS.							
	24.000	15.96	08/26/20	19.92	...	-3.96	1 of 4 - Sale ²⁵
	16.000	10.64	08/26/20	13.44	...	-2.80	2 of 4 - Sale ²⁵
	17.000	11.30	08/26/20	14.07	...	-2.77	3 of 4 - Sale ²⁵
	1.000	0.66	08/26/20	0.83	...	-0.17	4 of 4 - Sale ²⁵
09/03/20	58.000	38.56	Various	48.26	...	-9.70	Total of 4 transactions
OVID THERAPEUTICS INC. COMMON STOCK / CUSIP: 690469101 / Symbol:							
6 transactions for 05/19/20. Total proceeds and cost reported to the IRS.							
	2.000	8.36	05/15/20	8.22	...	0.14	1 of 6 - Sale ²⁵
	9.000	37.71	05/15/20	36.52	...	1.19	2 of 6 - Sale ²⁵
	10.000	41.80	05/15/20	40.28	...	1.52	3 of 6 - Sale ²⁵
	29.000	121.23	05/15/20	117.45	...	3.78	4 of 6 - Sale ²⁵
	41.000	171.78	05/15/20	165.14	...	6.64	5 of 6 - Sale ²⁵
	2.000	8.38	05/18/20	8.34	...	0.04	6 of 6 - Sale ²⁵
05/19/20	93.000	389.26	Various	375.95	...	13.31	Total of 6 transactions
05/19/20	9.000	37.62	05/14/20	37.89	0.27 W	0.00	Sale ²⁵
	Security total:	426.88		413.84	0.27 W	13.31	
SM ENERGY COMPANY / CUSIP: 78454L100 / Symbol:							
04/30/20	130.000	405.71	04/20/20	200.07	...	205.64	Sale ²⁵
3 transactions for 05/06/20. Total proceeds and cost reported to the IRS.							
	5.000	16.35	04/20/20	7.30	...	9.05	1 of 3 - Sale ²⁵
	20.000	65.40	04/20/20	30.78	...	34.62	2 of 3 - Sale ²⁵
	100.000	325.00	04/20/20	153.90	...	171.10	3 of 3 - Sale ²⁵
05/06/20	125.000	406.75	Various	191.98	...	214.77	Total of 3 transactions

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(continued)

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SM ENERGY COMPANY / CUSIP: 78454L100 / Symbol: (cont'd)							
2 transactions for 07/07/20. Total proceeds and cost reported to the IRS.							
	10.000	34.72	07/06/20	36.05	1.33 W	0.00	1 of 2 - Sale ²⁵
	4.000	13.89	07/06/20	14.15	0.26 W	0.00	2 of 2 - Sale ²⁵
07/07/20	14.000	48.61	Various	50.20	1.59 W	0.00	Total of 2 transactions
3 transactions for 08/12/20. Total proceeds and cost reported to the IRS.							
	4.000	12.84	07/27/20	14.84	2.00 W	0.00	1 of 3 - Sale ²⁵
	10.000	32.10	07/27/20	37.78	5.68 W	0.00	2 of 3 - Sale ²⁵
	36.000	115.56	07/27/20	131.22	15.66 W	0.00	3 of 3 - Sale ²⁵
08/12/20	50.000	160.50	Various	183.84	23.34 W	0.00	Total of 3 transactions
5 transactions for 09/18/20. Total proceeds and cost reported to the IRS.							
	4.000	8.60	08/03/20	13.48	4.88 W	0.00	1 of 5 - Sale ²⁵
	10.000	21.50	08/03/20	34.38	12.88 W	0.00	2 of 5 - Sale ²⁵
	36.000	77.40	08/03/20	118.98	41.58 W	0.00	3 of 5 - Sale ²⁵
	50.000	107.50	08/03/20	143.50	36.00 W	0.00	4 of 5 - Sale ²⁵
	50.000	107.51	08/03/20	143.50	35.99 W	0.00	5 of 5 - Sale ²⁵
09/18/20	150.000	322.51	Various	453.84	131.33 W	0.00	Total of 5 transactions
14 transactions for 09/21/20. Total proceeds and cost reported to the IRS.							
	100.000	197.20	08/03/20	278.50	81.30 W	0.00	1 of 14 - Sale ²⁵
	32.000	63.72	08/04/20	87.68	23.96 W	0.00	2 of 14 - Sale ²⁵
	18.000	35.84	08/04/20	49.32	13.48 W	0.00	3 of 14 - Sale ²⁵
	4.000	7.97	08/21/20	15.19	7.22 W	0.00	4 of 14 - Sale ²⁵
	10.000	19.91	08/21/20	38.65	18.74 W	0.00	5 of 14 - Sale ²⁵
	36.000	71.69	08/21/20	134.37	62.68 W	0.00	6 of 14 - Sale ²⁵
	50.000	99.61	08/25/20	162.50	62.89 W	0.00	7 of 14 - Sale ²⁵
	5.000	9.96	09/02/20	14.34	4.38 W	0.00	8 of 14 - Sale ²⁵
	25.000	49.80	09/02/20	70.44	20.64 W	0.00	9 of 14 - Sale ²⁵
	3.000	5.98	09/02/20	8.36	2.38 W	0.00	10 of 14 - Sale ²⁵
	4.000	7.97	09/03/20	11.23	3.26 W	0.00	11 of 14 - Sale ²⁵
	3.000	5.97	09/03/20	8.55	2.58 W	0.00	12 of 14 - Sale ²⁵
	3.000	5.98	09/10/20	8.25	2.27 W	0.00	13 of 14 - Sale ²⁵
	7.000	13.94	09/10/20	19.62	5.68 W	0.00	14 of 14 - Sale ²⁵
09/21/20	300.000	595.54	Various	907.00	311.46 W	0.00	Total of 14 transactions

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Robinhood Securities LLC

Account 115422180

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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SM ENERGY COMPANY / CUSIP: 78454L100 / Symbol: (cont'd)							
<i>10 transactions for 09/23/20. Total proceeds and cost reported to the IRS.</i>							
	18.000	35.68	09/10/20	50.46	14.78 W	0.00	1 of 10 - Sale ²⁵
	7.000	13.87	09/10/20	18.97	5.10 W	0.00	2 of 10 - Sale ²⁵
	25.000	49.55	09/10/20	67.32	17.77 W	0.00	3 of 10 - Sale ²⁵
	15.000	29.73	09/11/20	38.15	8.42 W	0.00	4 of 10 - Sale ²⁵
	3.000	5.95	09/14/20	7.51	1.56 W	0.00	5 of 10 - Sale ²⁵
	17.000	33.69	09/15/20	46.29	12.60 W	0.00	6 of 10 - Sale ²⁵
	4.000	7.93	09/17/20	11.19	3.26 W	0.00	7 of 10 - Sale ²⁵
	11.000	21.80	09/18/20	32.13	10.33 W	0.00	8 of 10 - Sale ²⁵
	18.000	35.68	09/18/20	51.42	15.74 W	0.00	9 of 10 - Sale ²⁵
	32.000	63.42	09/18/20	91.41	27.99 W	0.00	10 of 10 - Sale ²⁵
09/23/20	150.000	297.30	Various	414.85	117.55 W	0.00	Total of 10 transactions
11/02/20	700.000	1,246.89	09/25/20	1,203.02	...	43.87	Sale ²⁵
<i>26 transactions for 11/02/20. Total proceeds and cost reported to the IRS.</i>							
	4.000	7.12	09/25/20	14.69	7.57 W	0.00	1 of 26 - Sale ²⁵
	1.000	1.78	09/25/20	3.63	1.85 W	0.00	2 of 26 - Sale ²⁵
	4.000	7.12	09/25/20	14.24	7.12 W	0.00	3 of 26 - Sale ²⁵
	5.000	8.91	09/25/20	18.15	9.24 W	0.00	4 of 26 - Sale ²⁵
	11.000	19.59	09/25/20	38.45	18.86 W	0.00	5 of 26 - Sale ²⁵
	2.000	3.56	09/25/20	6.94	3.38 W	0.00	6 of 26 - Sale ²⁵
	23.000	40.97	09/25/20	79.56	38.59 W	0.00	7 of 26 - Sale ²⁵
	50.000	89.06	09/25/20	148.79	59.73 W	0.00	8 of 26 - Sale ²⁵
	3.000	5.34	09/25/20	7.53	2.19 W	0.00	9 of 26 - Sale ²⁵
	5.000	8.91	09/25/20	12.97	4.06 W	0.00	10 of 26 - Sale ²⁵
	25.000	44.53	09/25/20	63.59	19.06 W	0.00	11 of 26 - Sale ²⁵
	3.000	5.34	09/25/20	7.73	2.39 W	0.00	12 of 26 - Sale ²⁵
	4.000	7.13	09/25/20	10.13	3.00 W	0.00	13 of 26 - Sale ²⁵
	18.000	32.06	09/25/20	45.71	13.65 W	0.00	14 of 26 - Sale ²⁵
	25.000	44.53	09/25/20	60.72	16.19 W	0.00	15 of 26 - Sale ²⁵
	15.000	26.72	09/25/20	34.19	7.47 W	0.00	16 of 26 - Sale ²⁵
	7.000	12.47	09/25/20	17.71	5.24 W	0.00	17 of 26 - Sale ²⁵
	7.000	12.47	09/25/20	17.13	4.66 W	0.00	18 of 26 - Sale ²⁵
	3.000	5.34	09/25/20	6.71	1.37 W	0.00	19 of 26 - Sale ²⁵
	3.000	5.34	09/25/20	7.42	2.08 W	0.00	20 of 26 - Sale ²⁵

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Robinhood Securities LLC

Account 115422180

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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SM ENERGY COMPANY / CUSIP: 78454L100 / Symbol: (cont'd)							
	17.000	30.28	09/25/20	41.81	11.53 W	0.00	21 of 26 - Sale ²⁵
	4.000	7.13	09/25/20	10.13	3.00 W	0.00	22 of 26 - Sale ²⁵
	11.000	19.59	09/25/20	29.23	9.64 W	0.00	23 of 26 - Sale ²⁵
	15.000	26.72	09/25/20	38.92	12.20 W	0.00	24 of 26 - Sale ²⁵
	17.000	30.28	09/25/20	44.09	13.81 W	0.00	25 of 26 - Sale ²⁵
	18.000	32.06	09/25/20	46.67	14.61 W	0.00	26 of 26 - Sale ²⁵
11/02/20	300.000	534.35	Various	826.84	292.49 W	0.00	Total of 26 transactions
	61 transactions for 11/03/20. Total proceeds and cost reported to the IRS.						
	100.000	183.48	09/25/20	170.50	...	12.98	1 of 61 - Sale ²⁵
	100.000	183.48	09/25/20	170.50	...	12.98	2 of 61 - Sale ²⁵
	100.000	183.48	09/25/20	170.50	...	12.98	3 of 61 - Sale ²⁵
	100.000	183.49	09/25/20	170.50	...	12.99	4 of 61 - Sale ²⁵
	100.000	183.49	09/25/20	170.50	...	12.99	5 of 61 - Sale ²⁵
	15.000	27.53	09/28/20	25.80	...	1.73	6 of 61 - Sale ²⁵
	17.000	31.19	09/28/20	28.86	...	2.33	7 of 61 - Sale ²⁵
	31.000	56.88	09/28/20	52.97	...	3.91	8 of 61 - Sale ²⁵
	83.000	152.30	09/28/20	141.81	...	10.49	9 of 61 - Sale ²⁵
	86.000	157.80	09/28/20	146.94	...	10.86	10 of 61 - Sale ²⁵
	100.000	183.49	09/28/20	172.00	...	11.49	11 of 61 - Sale ²⁵
	100.000	183.49	09/28/20	172.00	...	11.49	12 of 61 - Sale ²⁵
	100.000	183.49	09/28/20	172.00	...	11.49	13 of 61 - Sale ²⁵
	100.000	183.49	09/28/20	172.00	...	11.49	14 of 61 - Sale ²⁵
	100.000	183.49	09/28/20	172.00	...	11.49	15 of 61 - Sale ²⁵
	100.000	183.49	09/28/20	170.86	...	12.63	16 of 61 - Sale ²⁵
	116.000	212.84	09/28/20	199.52	...	13.32	17 of 61 - Sale ²⁵
	169.000	310.09	09/28/20	290.68	...	19.41	18 of 61 - Sale ²⁵
	200.000	366.96	09/28/20	343.72	...	23.24	19 of 61 - Sale ²⁵
	183.000	335.77	09/28/20	310.72	...	25.05	20 of 61 - Sale ²⁵
	3.000	5.50	09/29/20	4.91	...	0.59	21 of 61 - Sale ²⁵
	7.000	12.84	09/29/20	11.12	...	1.72	22 of 61 - Sale ²⁵
	8.000	14.68	09/29/20	12.70	...	1.98	23 of 61 - Sale ²⁵
	35.000	64.22	09/29/20	58.71	...	5.51	24 of 61 - Sale ²⁵
	79.000	144.95	09/29/20	125.52	...	19.43	25 of 61 - Sale ²⁵
	93.000	170.65	09/29/20	147.77	...	22.88	26 of 61 - Sale ²⁵

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Account 115422180

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2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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SM ENERGY COMPANY / CUSIP: 78454L100 / Symbol: (cont'd)							
	2.000	3.67	10/01/20	3.16	...	0.51	27 of 61 - Sale ²⁵
	23.000	42.20	10/15/20	62.52	...	-20.32	28 of 61 - Sale ²⁵
	11.000	20.18	10/15/20	30.29	...	-10.11	29 of 61 - Sale ²⁵
	22.000	40.37	10/15/20	49.16	...	-8.79	30 of 61 - Sale ²⁵
	5.000	9.17	10/15/20	14.45	...	-5.28	31 of 61 - Sale ²⁵
	4.000	7.34	10/15/20	11.28	...	-3.94	32 of 61 - Sale ²⁵
	2.000	3.67	10/15/20	5.46	...	-1.79	33 of 61 - Sale ²⁵
	11.000	20.19	10/15/20	21.48	...	-1.29	34 of 61 - Sale ²⁵
	1.000	1.83	10/15/20	2.89	...	-1.06	35 of 61 - Sale ²⁵
	2.000	3.67	10/15/20	4.11	...	-0.44	36 of 61 - Sale ²⁵
	1.000	1.84	10/15/20	2.06	...	-0.22	37 of 61 - Sale ²⁵
	15.000	27.52	10/15/20	27.05	...	0.47	38 of 61 - Sale ²⁵
	11.000	20.18	10/16/20	23.45	...	-3.27	39 of 61 - Sale ²⁵
	17.000	31.19	10/16/20	32.87	...	-1.68	40 of 61 - Sale ²⁵
	4.000	7.34	10/16/20	8.02	...	-0.68	41 of 61 - Sale ²⁵
	4.000	7.34	10/16/20	8.01	...	-0.67	42 of 61 - Sale ²⁵
	7.000	12.84	10/16/20	13.45	...	-0.61	43 of 61 - Sale ²⁵
	3.000	5.50	10/16/20	5.85	...	-0.35	44 of 61 - Sale ²⁵
	1.000	1.84	10/16/20	2.07	...	-0.23	45 of 61 - Sale ²⁵
	3.000	5.51	10/16/20	5.13	...	0.38	46 of 61 - Sale ²⁵
	18.000	33.03	10/21/20	38.96	...	-5.93	47 of 61 - Sale ²⁵
	18.000	33.03	10/21/20	36.84	...	-3.81	48 of 61 - Sale ²⁵
	17.000	31.19	10/21/20	34.81	...	-3.62	49 of 61 - Sale ²⁵
	10.000	18.35	10/21/20	21.65	...	-3.30	50 of 61 - Sale ²⁵
	14.000	25.69	10/21/20	28.68	...	-2.99	51 of 61 - Sale ²⁵
	1.000	1.83	10/21/20	2.60	...	-0.77	52 of 61 - Sale ²⁵
	1.000	1.83	10/21/20	1.77	...	0.06	53 of 61 - Sale ²⁵
	2.000	3.67	10/21/20	3.54	...	0.13	54 of 61 - Sale ²⁵
	5.000	9.17	10/21/20	8.92	...	0.25	55 of 61 - Sale ²⁵
	3.000	5.50	10/21/20	5.11	...	0.39	56 of 61 - Sale ²⁵
	4.000	7.34	10/21/20	6.88	...	0.46	57 of 61 - Sale ²⁵
	4.000	7.34	10/21/20	6.47	...	0.87	58 of 61 - Sale ²⁵
	18.000	33.03	10/21/20	31.10	...	1.93	59 of 61 - Sale ²⁵
	10.000	18.35	10/21/20	16.17	...	2.18	60 of 61 - Sale ²⁵

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(continued)

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SM ENERGY COMPANY / CUSIP: 78454L100 / Symbol: (cont'd)							
	25.000	45.88	10/21/20	43.32	...	2.56	61 of 61 - Sale ²⁵
11/03/20	2,524.000	4,631.18	Various	4,404.69	...	226.49	Total of 61 transactions
	46 transactions for 11/03/20. Total proceeds and cost reported to the IRS.						
	4.000	7.34	10/15/20	11.73	1.10 W	-3.29	1 of 46 - Sale ²⁵
	1.000	1.83	10/15/20	3.42	1.59 W	0.00	2 of 46 - Sale ²⁵
	4.000	7.34	10/15/20	13.85	6.51 W	0.00	3 of 46 - Sale ²⁵
	4.000	7.34	10/15/20	13.40	6.06 W	0.00	4 of 46 - Sale ²⁵
	5.000	9.17	10/15/20	17.09	7.92 W	0.00	5 of 46 - Sale ²⁵
	2.000	3.67	10/15/20	6.52	2.85 W	0.00	6 of 46 - Sale ²⁵
	11.000	20.19	10/15/20	36.13	15.94 W	0.00	7 of 46 - Sale ²⁵
	23.000	42.20	10/15/20	74.70	32.50 W	0.00	8 of 46 - Sale ²⁵
	40.000	73.40	10/15/20	110.58	37.18 W	0.00	9 of 46 - Sale ²⁵
	10.000	18.35	10/15/20	27.65	9.30 W	0.00	10 of 46 - Sale ²⁵
	3.000	5.50	10/15/20	6.90	1.40 W	0.00	11 of 46 - Sale ²⁵
	5.000	9.17	10/15/20	11.91	2.74 W	0.00	12 of 46 - Sale ²⁵
	25.000	45.87	10/15/20	58.31	12.44 W	0.00	13 of 46 - Sale ²⁵
	3.000	5.50	10/15/20	7.10	1.60 W	0.00	14 of 46 - Sale ²⁵
	4.000	7.34	10/15/20	9.28	1.94 W	0.00	15 of 46 - Sale ²⁵
	18.000	33.03	10/15/20	41.91	8.88 W	0.00	16 of 46 - Sale ²⁵
	25.000	45.88	10/15/20	55.44	9.56 W	0.00	17 of 46 - Sale ²⁵
	15.000	27.52	10/15/20	31.02	3.50 W	0.00	18 of 46 - Sale ²⁵
	2.000	3.67	10/15/20	4.64	0.97 W	0.00	19 of 46 - Sale ²⁵
	1.000	1.84	10/15/20	3.16	1.32 W	0.00	20 of 46 - Sale ²⁵
	4.000	7.34	10/15/20	12.79	5.45 W	0.00	21 of 46 - Sale ²⁵
	4.000	7.34	10/15/20	12.34	5.00 W	0.00	22 of 46 - Sale ²⁵
	5.000	9.17	10/15/20	15.77	6.60 W	0.00	23 of 46 - Sale ²⁵
	2.000	3.67	10/15/20	5.99	2.32 W	0.00	24 of 46 - Sale ²⁵
	11.000	20.19	10/15/20	33.21	13.02 W	0.00	25 of 46 - Sale ²⁵
	23.000	42.20	10/15/20	68.61	26.41 W	0.00	26 of 46 - Sale ²⁵
	22.000	40.37	10/15/20	54.99	14.62 W	0.00	27 of 46 - Sale ²⁵
	5.000	9.18	10/15/20	11.59	2.41 W	0.00	28 of 46 - Sale ²⁵
	7.000	12.84	10/15/20	15.65	2.81 W	0.00	29 of 46 - Sale ²⁵
	3.000	5.51	10/15/20	6.08	0.57 W	0.00	30 of 46 - Sale ²⁵
	3.000	5.50	10/15/20	6.79	1.29 W	0.00	31 of 46 - Sale ²⁵

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(continued)

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SM ENERGY COMPANY / CUSIP: 78454L100 / Symbol: (cont'd)							
	17.000	31.19	10/15/20	38.22	7.03 W	0.00	32 of 46 - Sale ²⁵
	4.000	7.34	10/15/20	9.28	1.94 W	0.00	33 of 46 - Sale ²⁵
	11.000	20.18	10/15/20	26.91	6.73 W	0.00	34 of 46 - Sale ²⁵
	15.000	27.52	10/15/20	35.75	8.23 W	0.00	35 of 46 - Sale ²⁵
	17.000	31.19	10/15/20	40.50	9.31 W	0.00	36 of 46 - Sale ²⁵
	18.000	33.03	10/15/20	42.87	9.84 W	0.00	37 of 46 - Sale ²⁵
	10.000	18.35	10/15/20	25.00	6.65 W	0.00	38 of 46 - Sale ²⁵
	18.000	33.03	10/15/20	44.99	11.96 W	0.00	39 of 46 - Sale ²⁵
	3.000	5.50	10/15/20	6.11	0.61 W	0.00	40 of 46 - Sale ²⁵
	5.000	9.17	10/15/20	10.59	1.42 W	0.00	41 of 46 - Sale ²⁵
	25.000	45.87	10/15/20	51.69	5.82 W	0.00	42 of 46 - Sale ²⁵
	3.000	5.50	10/15/20	6.31	0.81 W	0.00	43 of 46 - Sale ²⁵
	4.000	7.34	10/15/20	8.22	0.88 W	0.00	44 of 46 - Sale ²⁵
	14.000	25.69	10/15/20	27.33	1.64 W	0.00	45 of 46 - Sale ²⁵
	18.000	33.03	10/15/20	37.14	4.11 W	0.00	46 of 46 - Sale ²⁵
11/03/20	476.000	873.39	Various	1,199.46	322.78 W	-3.29	Total of 46 transactions
	2 transactions for 12/22/20. Total proceeds and cost reported to the IRS.						
	30.000	163.65	12/21/20	160.14	...	3.51	1 of 2 - Sale ²⁵
	30.000	163.64	12/21/20	159.75	...	3.89	2 of 2 - Sale ²⁵
12/22/20	60.000	327.29	Various	319.89	...	7.40	Total of 2 transactions
	Security total:	9,850.02		10,355.68	1,200.54 W	694.88	
SERVICENOW, INC. / CUSIP: 81762P102 / Symbol:							
03/30/20	1.000	276.00	02/14/20	354.79	...	-78.79	Sale ²⁵
SIX FLAGS ENTERTAINMENT CORP. / CUSIP: 83001A102 / Symbol:							
	2 transactions for 04/28/20. Total proceeds and cost reported to the IRS.						
	1.000	19.12	04/20/20	15.50	...	3.62	1 of 2 - Sale ²⁵
	2.000	38.24	04/20/20	30.96	...	7.28	2 of 2 - Sale ²⁵
04/28/20	3.000	57.36	Various	46.46	...	10.90	Total of 2 transactions

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Robinhood Securities LLC

Account 115422180

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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SPARTAN ENERGY ACQUISITION COR P. / CUSIP: 846784106 / Symbol:							
2 transactions for 07/17/20. Total proceeds and cost reported to the IRS.							
	8.000	111.44	07/14/20	110.32	...	1.12	1 of 2 - Sale ²⁵
	4.000	55.72	07/14/20	54.02	...	1.70	2 of 2 - Sale ²⁵
07/17/20	12.000	167.16	Various	164.34	...	2.82	Total of 2 transactions
2 transactions for 09/02/20. Total proceeds and cost reported to the IRS.							
	10.000	141.00	08/03/20	119.80	...	21.20	1 of 2 - Sale ²⁵
	12.000	169.20	08/12/20	147.72	...	21.48	2 of 2 - Sale ²⁵
09/02/20	22.000	310.20	Various	267.52	...	42.68	Total of 2 transactions
	Security total:	477.36		431.86	...	45.50	
TATA MOTORS LIMITED / CUSIP: 876568502 / Symbol:							
04/09/20	10.000	50.34	04/06/20	44.78	...	5.56	Sale ²⁵
05/19/20	2.000	10.72	05/08/20	10.90	...	-0.18	Sale ²⁵
	Security total:	61.06		55.68	...	5.38	
TELLURIAN INC. COMMON STOCK / CUSIP: 87968A104 / Symbol:							
05/11/20	100.000	124.00	05/11/20	125.82	1.82 W	0.00	Sale ²⁵
18 transactions for 05/20/20. Total proceeds and cost reported to the IRS.							
	1.000	1.06	05/14/20	1.04	...	0.02	1 of 18 - Sale ²⁵
	3.000	3.19	05/14/20	3.12	...	0.07	2 of 18 - Sale ²⁵
	3.000	3.19	05/15/20	3.09	...	0.10	3 of 18 - Sale ²⁵
	3.000	3.18	05/15/20	3.07	...	0.11	4 of 18 - Sale ²⁵
	2.000	2.10	05/18/20	2.42	...	-0.32	5 of 18 - Sale ²⁵
	17.000	17.88	05/18/20	18.07	...	-0.19	6 of 18 - Sale ²⁵
	7.000	7.36	05/18/20	7.43	...	-0.07	7 of 18 - Sale ²⁵
	1.000	1.05	05/18/20	1.07	...	-0.02	8 of 18 - Sale ²⁵
	2.000	2.10	05/18/20	2.12	...	-0.02	9 of 18 - Sale ²⁵
	3.000	3.16	05/18/20	3.17	...	-0.01	10 of 18 - Sale ²⁵
	1.000	1.05	05/18/20	1.06	...	-0.01	11 of 18 - Sale ²⁵
	1.000	1.05	05/18/20	1.01	...	0.04	12 of 18 - Sale ²⁵
	5.000	5.31	05/18/20	5.22	...	0.09	13 of 18 - Sale ²⁵
	55.000	57.84	05/18/20	57.45	...	0.39	14 of 18 - Sale ²⁵
	25.000	26.29	05/18/20	25.65	...	0.64	15 of 18 - Sale ²⁵
	30.000	31.55	05/18/20	30.30	...	1.25	16 of 18 - Sale ²⁵

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Robinhood Securities LLC

Account 115422180

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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TELLURIAN INC. COMMON STOCK / CUSIP: 87968A104 / Symbol: (cont'd)							
	55.000	57.85	05/18/20	56.44	...	1.41	17 of 18 - Sale ²⁵
	1.000	1.06	05/19/20	1.07	...	-0.01	18 of 18 - Sale ²⁵
05/20/20	215.000	226.27	Various	222.80	...	3.47	Total of 18 transactions
	12 transactions for 05/20/20. Total proceeds and cost reported to the IRS.						
	2.000	2.12	05/11/20	2.48	0.36 W	0.00	1 of 12 - Sale ²⁵
	3.000	3.19	05/13/20	3.29	0.10 W	0.00	2 of 12 - Sale ²⁵
	17.000	18.05	05/13/20	18.67	0.62 W	0.00	3 of 12 - Sale ²⁵
	1.000	1.06	05/13/20	1.10	0.04 W	0.00	4 of 12 - Sale ²⁵
	77.000	81.76	05/13/20	84.41	2.65 W	0.00	5 of 12 - Sale ²⁵
	25.000	26.55	05/13/20	26.95	0.40 W	0.00	6 of 12 - Sale ²⁵
	2.000	2.12	05/13/20	2.52	0.40 W	0.00	7 of 12 - Sale ²⁵
	1.000	1.06	05/13/20	1.12	0.06 W	0.00	8 of 12 - Sale ²⁵
	3.000	3.19	05/13/20	3.33	0.14 W	0.00	9 of 12 - Sale ²⁵
	17.000	18.05	05/13/20	18.95	0.90 W	0.00	10 of 12 - Sale ²⁵
	55.000	58.40	05/13/20	59.30	0.90 W	0.00	11 of 12 - Sale ²⁵
	7.000	7.43	05/13/20	7.79	0.36 W	0.00	12 of 12 - Sale ²⁵
05/20/20	210.000	222.98	Various	229.91	6.93 W	0.00	Total of 12 transactions
	Security total:	573.25		578.53	8.75 W	3.47	
TESLA, INC. COMMON STOCK / CUSIP: 88160R101 / Symbol:							
09/01/20	1.000	479.22	08/31/20	445.56	...	33.66	Sale ²⁵
TITAN PHARMACEUTICALS, INC. COMMON STOCK / CUSIP: 888314507 / Symbol:							
	2 transactions for 05/20/20. Total proceeds and cost reported to the IRS.						
	50.000	13.24	05/19/20	13.29	...	-0.05	1 of 2 - Sale ²⁵
	5.000	1.32	05/19/20	1.33	...	-0.01	2 of 2 - Sale ²⁵
05/20/20	55.000	14.56	Various	14.62	...	-0.06	Total of 2 transactions
TWO HARBORS INVESTMENT CORP. / CUSIP: 90187B408 / Symbol:							
	2 transactions for 05/19/20. Total proceeds and cost reported to the IRS.						
	3.000	13.51	05/07/20	14.15	0.64 W	0.00	1 of 2 - Sale ²⁵
	11.000	49.53	05/08/20	49.80	0.27 W	0.00	2 of 2 - Sale ²⁵
05/19/20	14.000	63.04	Various	63.95	0.91 W	0.00	Total of 2 transactions

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Robinhood Securities LLC

Account 115422180

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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TWO HARBORS INVESTMENT CORP. / CUSIP: 90187B408 / Symbol: (cont'd)							
2 transactions for 05/29/20. Total proceeds and cost reported to the IRS.							
	186.000	853.90	05/08/20	842.10	...	11.80	1 of 2 - Sale ²⁵
	11.000	50.50	05/15/20	47.87	...	2.63	2 of 2 - Sale ²⁵
05/29/20	197.000	904.40	Various	889.97	...	14.43	Total of 2 transactions
05/29/20	3.000	13.77	05/08/20	14.22	0.45 W	0.00	Sale ²⁵
8 transactions for 06/02/20. Total proceeds and cost reported to the IRS.							
	3.000	14.70	05/15/20	13.43	...	1.27	1 of 8 - Sale ²⁵
	8.000	39.20	05/15/20	34.54	...	4.66	2 of 8 - Sale ²⁵
	33.000	161.70	05/15/20	142.81	...	18.89	3 of 8 - Sale ²⁵
	2.000	9.78	05/18/20	8.73	...	1.05	4 of 8 - Sale ²⁵
	6.000	29.41	05/18/20	26.21	...	3.20	5 of 8 - Sale ²⁵
	1.000	4.89	05/19/20	4.40	...	0.49	6 of 8 - Sale ²⁵
	2.000	9.78	05/19/20	8.69	...	1.09	7 of 8 - Sale ²⁵
	45.000	220.15	05/19/20	195.98	...	24.17	8 of 8 - Sale ²⁵
06/02/20	100.000	489.61	Various	434.79	...	54.82	Total of 8 transactions
	Security total:	1,470.82		1,402.93	1.36 W	69.25	
UNITED AIRLINES HOLDINGS, INC. COMMON STOCK / CUSIP: 910047109 / Symbol:							
2 transactions for 04/15/20. Total proceeds and cost reported to the IRS.							
	5.000	157.85	04/13/20	142.45	...	15.40	1 of 2 - Sale ²⁵
	4.000	126.28	04/14/20	124.44	...	1.84	2 of 2 - Sale ²⁵
04/15/20	9.000	284.13	Various	266.89	...	17.24	Total of 2 transactions
04/15/20	1.000	30.79	04/14/20	31.11	0.32 W	0.00	Sale ²⁵
05/01/20	1.000	27.34	04/20/20	28.35	1.01 W	0.00	Sale ²⁵
14 transactions for 05/08/20. Total proceeds and cost reported to the IRS.							
	1.000	24.59	05/06/20	23.43	...	1.16	1 of 14 - Sale ²⁵
	1.000	24.59	05/06/20	23.38	...	1.21	2 of 14 - Sale ²⁵
	1.000	24.59	05/06/20	23.32	...	1.27	3 of 14 - Sale ²⁵
	1.000	24.59	05/06/20	23.22	...	1.37	4 of 14 - Sale ²⁵
	1.000	24.59	05/06/20	23.09	...	1.50	5 of 14 - Sale ²⁵
	4.000	98.36	05/06/20	91.68	...	6.68	6 of 14 - Sale ²⁵
	5.000	122.95	05/06/20	116.23	...	6.72	7 of 14 - Sale ²⁵
	5.000	122.95	05/06/20	113.65	...	9.30	8 of 14 - Sale ²⁵

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Account 115422180

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2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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UNITED AIRLINES HOLDINGS, INC. COMMON STOCK / CUSIP: 910047109 / Symbol: (cont'd)							
	8.000	196.71	05/06/20	184.96	...	11.75	9 of 14 - Sale ²⁵
	17.000	418.02	05/06/20	392.36	...	25.66	10 of 14 - Sale ²⁵
	1.000	24.59	05/07/20	22.52	...	2.07	11 of 14 - Sale ²⁵
	9.000	221.30	05/07/20	204.19	...	17.11	12 of 14 - Sale ²⁵
	9.000	221.30	05/07/20	202.94	...	18.36	13 of 14 - Sale ²⁵
	9.000	221.30	05/07/20	202.77	...	18.53	14 of 14 - Sale ²⁵
05/08/20	72.000	1,770.43	Various	1,647.74	...	122.69	Total of 14 transactions
	10 transactions for 05/08/20. Total proceeds and cost reported to the IRS.						
	12.000	292.67	04/20/20	336.36	43.69 W	0.00	1 of 10 - Sale ²⁵
	1.000	24.39	04/20/20	28.81	4.42 W	0.00	2 of 10 - Sale ²⁵
	15.000	365.84	04/20/20	416.96	51.12 W	0.00	3 of 10 - Sale ²⁵
	1.000	24.59	04/20/20	31.56	6.97 W	0.00	4 of 10 - Sale ²⁵
	3.000	73.77	04/20/20	93.75	19.98 W	0.00	5 of 10 - Sale ²⁵
	1.000	24.59	05/05/20	28.86	4.27 W	0.00	6 of 10 - Sale ²⁵
	1.000	24.59	05/05/20	27.84	3.25 W	0.00	7 of 10 - Sale ²⁵
	8.000	196.71	05/05/20	224.62	27.91 W	0.00	8 of 10 - Sale ²⁵
	10.000	245.89	05/05/20	277.68	31.79 W	0.00	9 of 10 - Sale ²⁵
	4.000	98.36	05/06/20	107.34	8.98 W	0.00	10 of 10 - Sale ²⁵
05/08/20	56.000	1,371.40	Various	1,573.78	202.38 W	0.00	Total of 10 transactions
	11 transactions for 06/11/20. Total proceeds and cost reported to the IRS.						
	1.000	33.03	05/11/20	30.97	...	2.06	1 of 11 - Sale ²⁵
	1.000	33.03	05/11/20	28.27	...	4.76	2 of 11 - Sale ²⁵
	1.000	33.03	05/11/20	27.25	...	5.78	3 of 11 - Sale ²⁵
	1.000	33.03	05/11/20	27.18	...	5.85	4 of 11 - Sale ²⁵
	3.000	99.09	05/11/20	91.98	...	7.11	5 of 11 - Sale ²⁵
	1.000	33.03	05/11/20	23.98	...	9.05	6 of 11 - Sale ²⁵
	4.000	132.12	05/11/20	104.90	...	27.22	7 of 11 - Sale ²⁵
	8.000	264.23	05/11/20	219.91	...	44.32	8 of 11 - Sale ²⁵
	9.000	297.26	05/11/20	244.61	...	52.65	9 of 11 - Sale ²⁵
	7.000	231.21	05/13/20	143.97	...	87.24	10 of 11 - Sale ²⁵
	14.000	462.41	05/13/20	287.77	...	174.64	11 of 11 - Sale ²⁵
06/11/20	50.000	1,651.47	Various	1,230.79	...	420.68	Total of 11 transactions

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(continued)

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UNITED AIRLINES HOLDINGS, INC. COMMON STOCK / CUSIP: 910047109 / Symbol: (cont'd)							
2 transactions for 06/23/20. Total proceeds and cost reported to the IRS.							
	4.000	143.80	05/13/20	82.22	...	61.58	1 of 2 - Sale ²⁵
	1.000	35.95	05/14/20	20.08	...	15.87	2 of 2 - Sale ²⁵
06/23/20	5.000	179.75	Various	102.30	...	77.45	Total of 2 transactions
2 transactions for 06/24/20. Total proceeds and cost reported to the IRS.							
	5.000	167.51	05/14/20	100.39	...	67.12	1 of 2 - Sale ²⁵
	45.000	1,507.55	06/11/20	1,511.86	...	-4.31	2 of 2 - Sale ²⁵
06/24/20	50.000	1,675.06	Various	1,612.25	...	62.81	Total of 2 transactions
	Security total:	6,990.37		6,493.21	203.71 W	700.87	
UNITED STATES OIL FUND, LP / CUSIP: 91232N207 / Symbol:							
2 transactions for 05/13/20. Total proceeds and cost reported to the IRS.							
	10.000	204.70	05/11/20	226.19	...	-21.49	1 of 2 - Sale ²⁵
	10.000	204.70	05/11/20	215.40	...	-10.70	2 of 2 - Sale ²⁵
05/13/20	20.000	409.40	Various	441.59	...	-32.19	Total of 2 transactions
05/13/20	10.000	204.70	05/11/20	215.50	10.80 W	0.00	Sale ²⁵
	Security total:	614.10		657.09	10.80 W	-32.19	
URBAN ONE, INC. CLASS D COMMON STOCK / CUSIP: 91705J204 / Symbol:							
09/14/20	6.000	5.24	09/11/20	5.46	0.22 W	0.00	Sale ²⁵
11 transactions for 09/24/20. Total proceeds and cost reported to the IRS.							
	25.000	21.54	09/22/20	21.14	...	0.40	1 of 11 - Sale ²⁵
	154.000	132.70	09/22/20	130.26	...	2.44	2 of 11 - Sale ²⁵
	540.000	465.29	09/22/20	456.68	...	8.61	3 of 11 - Sale ²⁵
	5.000	4.28	09/23/20	4.28	...	0.00	4 of 11 - Sale ²⁵
	1.000	0.85	09/23/20	0.85	...	0.00	5 of 11 - Sale ²⁵
	39.000	33.15	09/23/20	33.11	...	0.04	6 of 11 - Sale ²⁵
	5.000	4.30	09/23/20	4.24	...	0.06	7 of 11 - Sale ²⁵
	10.000	8.59	09/23/20	8.40	...	0.19	8 of 11 - Sale ²⁵
	25.000	21.54	09/23/20	21.26	...	0.28	9 of 11 - Sale ²⁵
	25.000	21.54	09/23/20	21.04	...	0.50	10 of 11 - Sale ²⁵
	50.000	43.09	09/23/20	41.76	...	1.33	11 of 11 - Sale ²⁵
09/24/20	879.000	756.87	Various	743.02	...	13.85	Total of 11 transactions

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(continued)

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URBAN ONE, INC. CLASS D COMMON STOCK / CUSIP: 91705J204 / Symbol: (cont'd)							
2 transactions for 09/24/20. Total proceeds and cost reported to the IRS.							
	6.000	5.17	09/22/20	5.29	0.12 W	0.00	1 of 2 - Sale ²⁵
	175.000	150.79	09/23/20	153.18	0.74 W	-1.65	2 of 2 - Sale ²⁵
09/24/20	181.000	155.96	Various	158.47	0.86 W	-1.65	Total of 2 transactions
11 transactions for 11/03/20. Total proceeds and cost reported to the IRS.							
	7.000	7.14	10/29/20	6.93	...	0.21	1 of 11 - Sale ²⁵
	50.000	51.00	10/29/20	49.74	...	1.26	2 of 11 - Sale ²⁵
	43.000	43.85	11/02/20	41.70	...	2.15	3 of 11 - Sale ²⁵
	44.000	44.88	11/02/20	42.67	...	2.21	4 of 11 - Sale ²⁵
	100.000	101.99	11/02/20	96.98	...	5.01	5 of 11 - Sale ²⁵
	200.000	203.98	11/02/20	193.96	...	10.02	6 of 11 - Sale ²⁵
	200.000	203.98	11/02/20	193.96	...	10.02	7 of 11 - Sale ²⁵
	200.000	203.98	11/02/20	193.96	...	10.02	8 of 11 - Sale ²⁵
	256.000	261.09	11/02/20	248.27	...	12.82	9 of 11 - Sale ²⁵
	410.000	414.04	11/02/20	397.62	...	16.42	10 of 11 - Sale ²⁵
	490.000	494.82	11/02/20	474.54	...	20.28	11 of 11 - Sale ²⁵
11/03/20	2,000.000	2,030.75	Various	1,940.33	...	90.42	Total of 11 transactions
11/10/20	1,300.000	1,344.80	11/10/20	1,300.00	...	44.80	Sale ²⁵
11/13/20	40.000	41.39	11/12/20	39.60	...	1.79	Sale ²⁵
11 transactions for 12/23/20. Total proceeds and cost reported to the IRS.							
	621.000	726.48	12/22/20	726.57	...	-0.09	1 of 11 - Sale ²⁵
	50.000	58.49	12/22/20	58.50	...	-0.01	2 of 11 - Sale ²⁵
	25.000	29.25	12/22/20	29.05	...	0.20	3 of 11 - Sale ²⁵
	31.000	36.27	12/22/20	35.96	...	0.31	4 of 11 - Sale ²⁵
	20.000	23.60	12/22/20	23.20	...	0.40	5 of 11 - Sale ²⁵
	50.000	59.00	12/22/20	58.00	...	1.00	6 of 11 - Sale ²⁵
	74.000	86.57	12/22/20	85.47	...	1.10	7 of 11 - Sale ²⁵
	124.000	145.06	12/22/20	143.84	...	1.22	8 of 11 - Sale ²⁵
	50.000	58.99	12/22/20	57.75	...	1.24	9 of 11 - Sale ²⁵
	80.000	94.39	12/22/20	92.80	...	1.59	10 of 11 - Sale ²⁵
	200.000	233.97	12/22/20	232.00	...	1.97	11 of 11 - Sale ²⁵
12/23/20	1,325.000	1,552.07	Various	1,543.14	...	8.93	Total of 11 transactions
	Security total:	5,887.08		5,730.02	1.08 W	158.14	

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Robinhood Securities LLC

Account 115422180

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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VISLINK TECHNOLOGIES, INC. COM MON STOCK / CUSIP: 92836Y201 / Symbol:							
4 transactions for 06/09/20. Total proceeds and cost reported to the IRS.							
	40.000	36.82	06/08/20	40.80	...	-3.98	1 of 4 - Sale ²⁵
	5.000	4.53	06/08/20	5.60	...	-1.07	2 of 4 - Sale ²⁵
	10.000	9.20	06/08/20	10.20	...	-1.00	3 of 4 - Sale ²⁵
	2.000	1.81	06/08/20	2.24	...	-0.43	4 of 4 - Sale ²⁵
06/09/20	57.000	52.36	Various	58.84	...	-6.48	Total of 4 transactions
06/09/20	140.000	128.87	06/08/20	142.79	0.70 W	-13.22	Sale ²⁵
	Security total:	181.23		201.63	0.70 W	-19.70	
WIPRO LIMITED / CUSIP: 97651M109 / Symbol:							
04/09/20	10.000	31.70	04/03/20	28.90	...	2.80	Sale ²⁵
2 transactions for 04/16/20. Total proceeds and cost reported to the IRS.							
	1.000	3.12	04/15/20	2.85	...	0.27	1 of 2 - Sale ²⁵
	9.000	28.03	04/15/20	25.63	...	2.40	2 of 2 - Sale ²⁵
04/16/20	10.000	31.15	Various	28.48	...	2.67	Total of 2 transactions
	Security total:	62.85		57.38	...	5.47	
WORKHORSE GROUP, INC. COMMON S TOCK / CUSIP: 98138J206 / Symbol:							
10/16/20	4.000	92.76	10/15/20	89.94	...	2.82	Sale ²⁵
4 transactions for 11/10/20. Total proceeds and cost reported to the IRS.							
	20.000	379.99	11/10/20	358.83	...	21.16	1 of 4 - Sale ²⁵
	50.000	946.67	11/10/20	921.24	...	25.43	2 of 4 - Sale ²⁵
	75.000	1,424.96	11/10/20	1,353.68	...	71.28	3 of 4 - Sale ²⁵
	250.000	4,733.36	11/10/20	4,516.88	...	216.48	4 of 4 - Sale ²⁵
11/10/20	395.000	7,484.98	Various	7,150.63	...	334.35	Total of 4 transactions
	Security total:	7,577.74		7,240.57	...	337.17	
XPRESSPA GROUP, INC. COMMON ST OCK / CUSIP: 98420U604 / Symbol:							
2 transactions for 06/05/20. Total proceeds and cost reported to the IRS.							
	100.000	235.49	06/04/20	184.50	...	50.99	1 of 2 - Sale ²⁵
	300.000	772.32	06/04/20	553.50	...	218.82	2 of 2 - Sale ²⁵
06/05/20	400.000	1,007.81	Various	738.00	...	269.81	Total of 2 transactions

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Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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

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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
INTELSAT S A COMMON STOCK / CUSIP: L5140P101 / Symbol:							
5 transactions for 04/20/20. Total proceeds and cost reported to the IRS.							
	4.000	5.00	04/14/20	4.76	...	0.24	1 of 5 - Sale ²⁵
	50.000	62.50	04/15/20	51.00	...	11.50	2 of 5 - Sale ²⁵
	100.000	124.99	04/15/20	107.00	...	17.99	3 of 5 - Sale ²⁵
	100.000	124.99	04/15/20	101.72	...	23.27	4 of 5 - Sale ²⁵
	150.000	187.49	04/15/20	152.82	...	34.67	5 of 5 - Sale ²⁵
04/20/20	404.000	504.97	Various	417.30	...	87.67	Total of 5 transactions
PACIFIC DRILLING S.A. ORDINARY SHARES PAR \$0.01 (LUXEMBOURG) / CUSIP: L7257P205 / Symbol:							
06/24/20	4.000	2.01	06/09/20	3.84	1.83 W	0.00	Sale ²⁵
14 transactions for 06/29/20. Total proceeds and cost reported to the IRS.							
	60.000	30.24	06/09/20	48.68	...	-18.44	1 of 14 - Sale ²⁵
	16.000	8.06	06/09/20	14.29	...	-6.23	2 of 14 - Sale ²⁵
	4.000	2.02	06/09/20	5.40	...	-3.38	3 of 14 - Sale ²⁵
	8.000	4.03	06/09/20	6.49	...	-2.46	4 of 14 - Sale ²⁵
	6.000	3.02	06/09/20	4.87	...	-1.85	5 of 14 - Sale ²⁵
	3.000	1.51	06/09/20	2.36	...	-0.85	6 of 14 - Sale ²⁵
	1.000	0.50	06/09/20	0.81	...	-0.31	7 of 14 - Sale ²⁵
	25.000	12.60	06/11/20	12.68	...	-0.08	8 of 14 - Sale ²⁵
	2.000	1.01	06/11/20	1.01	...	0.00	9 of 14 - Sale ²⁵
	12.000	6.05	06/22/20	6.89	...	-0.84	10 of 14 - Sale ²⁵
	2.000	1.01	06/22/20	1.15	...	-0.14	11 of 14 - Sale ²⁵
	21.000	10.40	06/23/20	21.52	...	-11.12	12 of 14 - Sale ²⁵
	5.000	2.52	06/23/20	2.84	...	-0.32	13 of 14 - Sale ²⁵
	9.000	4.45	06/24/20	8.66	...	-4.21	14 of 14 - Sale ²⁵
06/29/20	174.000	87.42	Various	137.65	...	-50.23	Total of 14 transactions
06/29/20	156.000	78.62	06/09/20	149.78	13.69 W	-57.47	Sale ²⁵
10/21/20	9.000	2.21	10/20/20	2.25	...	-0.04	Sale ²⁵
	Security total:	170.26		293.52	15.52 W	-107.74	
ROYAL CARIBBEAN GROUP / CUSIP: V7780T103 / Symbol:							
04/14/20	3.000	111.76	04/14/20	112.89	...	-1.13	Sale ²⁵

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Robinhood Securities LLC

Account 115422180

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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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: Y8897Y164 / Symbol:							
06/04/20	555.000	69.76	05/29/20	69.38	...	0.38	Sale ²⁵
	<i>31 transactions for 06/04/20. Total proceeds and cost reported to the IRS.</i>						
	60.000	7.54	05/20/20	8.84	1.30 W	0.00	1 of 31 - Sale ²⁵
	100.000	12.57	05/20/20	14.75	2.18 W	0.00	2 of 31 - Sale ²⁵
	850.000	106.83	05/20/20	124.95	18.12 W	0.00	3 of 31 - Sale ²⁵
	60.000	7.54	05/20/20	8.83	1.29 W	0.00	4 of 31 - Sale ²⁵
	600.000	75.41	05/20/20	87.36	11.95 W	0.00	5 of 31 - Sale ²⁵
	120.000	15.08	05/20/20	17.45	2.37 W	0.00	6 of 31 - Sale ²⁵
	1,350.000	169.68	05/20/20	197.64	27.96 W	0.00	7 of 31 - Sale ²⁵
	80.000	10.06	05/20/20	11.78	1.72 W	0.00	8 of 31 - Sale ²⁵
	15.000	1.89	05/20/20	2.21	0.32 W	0.00	9 of 31 - Sale ²⁵
	4.000	0.50	05/20/20	0.58	0.08 W	0.00	10 of 31 - Sale ²⁵
	1.000	0.13	05/20/20	0.15	0.02 W	0.00	11 of 31 - Sale ²⁵
	20.000	2.51	05/20/20	2.88	0.37 W	0.00	12 of 31 - Sale ²⁵
	5.000	0.63	05/20/20	0.72	0.09 W	0.00	13 of 31 - Sale ²⁵
	350.000	43.99	05/20/20	50.09	6.10 W	0.00	14 of 31 - Sale ²⁵
	50.000	6.28	05/20/20	7.17	0.89 W	0.00	15 of 31 - Sale ²⁵
	6.000	0.75	05/20/20	0.86	0.11 W	0.00	16 of 31 - Sale ²⁵
	12.000	1.51	05/20/20	1.73	0.22 W	0.00	17 of 31 - Sale ²⁵
	380.000	47.76	05/20/20	55.29	7.53 W	0.00	18 of 31 - Sale ²⁵
	18.000	2.26	05/20/20	2.62	0.36 W	0.00	19 of 31 - Sale ²⁵
	1.000	0.13	05/20/20	0.15	0.02 W	0.00	20 of 31 - Sale ²⁵
	600.000	75.41	05/20/20	86.97	11.56 W	0.00	21 of 31 - Sale ²⁵
	60.000	7.54	05/20/20	8.69	1.15 W	0.00	22 of 31 - Sale ²⁵
	5.000	0.63	05/20/20	0.72	0.09 W	0.00	23 of 31 - Sale ²⁵
	350.000	43.99	05/20/20	50.86	6.87 W	0.00	24 of 31 - Sale ²⁵
	45.000	5.66	05/20/20	6.54	0.88 W	0.00	25 of 31 - Sale ²⁵
	2.000	0.25	05/20/20	0.29	0.04 W	0.00	26 of 31 - Sale ²⁵
	480.000	60.33	05/21/20	68.64	8.31 W	0.00	27 of 31 - Sale ²⁵
	30.000	3.77	05/21/20	4.29	0.52 W	0.00	28 of 31 - Sale ²⁵
	5.000	0.63	05/21/20	0.71	0.08 W	0.00	29 of 31 - Sale ²⁵
	80.000	10.06	05/22/20	11.61	1.55 W	0.00	30 of 31 - Sale ²⁵
	6.000	0.75	05/22/20	0.87	0.12 W	0.00	31 of 31 - Sale ²⁵
06/04/20	5,745.000	722.07	Various	836.24	114.17 W	0.00	Total of 31 transactions

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Account 115422180

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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TOP SHIPS, INC. COMMON STOCK / CUSIP: Y8897Y164 / Symbol: (cont'd)							
<i>7 transactions for 07/06/20. Total proceeds and cost reported to the IRS.</i>							
	60.000	8.04	05/29/20	8.80	0.76 W	0.00	1 of 7 - Sale ²⁵
	60.000	8.04	05/29/20	8.79	0.75 W	0.00	2 of 7 - Sale ²⁵
	100.000	13.40	05/29/20	14.68	1.28 W	0.00	3 of 7 - Sale ²⁵
	120.000	16.08	05/29/20	17.37	1.29 W	0.00	4 of 7 - Sale ²⁵
	600.000	80.40	05/29/20	86.95	6.55 W	0.00	5 of 7 - Sale ²⁵
	850.000	113.89	05/29/20	124.37	10.48 W	0.00	6 of 7 - Sale ²⁵
	70.000	9.37	05/29/20	10.20	0.83 W	0.00	7 of 7 - Sale ²⁵
07/06/20	1,860.000	249.22	Various	271.16	21.94 W	0.00	Total of 7 transactions
07/17/20	60.000	6.82	05/29/20	8.74	1.92 W	0.00	Sale ²⁵
	Security total:	1,047.87		1,185.52	138.03 W	0.38	
TOP SHIPS, INC. COMMON STOCK / CUSIP: Y8897Y180 / Symbol:							
09/10/20	6.000	7.15	05/29/20	21.86	14.71 W	0.00	Sale ²⁵
<i>54 transactions for 09/21/20. Total proceeds and cost reported to the IRS.</i>							
	42.800	48.36	05/29/20	155.91	...	-107.55	1 of 54 - Sale ²⁵
	14.000	15.82	05/29/20	49.85	...	-34.03	2 of 54 - Sale ²⁵
	3.200	3.62	05/29/20	11.72	...	-8.10	3 of 54 - Sale ²⁵
	2.000	2.26	05/29/20	7.14	...	-4.88	4 of 54 - Sale ²⁵
	0.800	0.90	05/29/20	2.87	...	-1.97	5 of 54 - Sale ²⁵
	0.680	0.77	05/29/20	2.46	...	-1.69	6 of 54 - Sale ²⁵
	0.600	0.68	05/29/20	2.20	...	-1.52	7 of 54 - Sale ²⁵
	0.480	0.54	05/29/20	1.72	...	-1.18	8 of 54 - Sale ²⁵
	0.240	0.27	05/29/20	0.86	...	-0.59	9 of 54 - Sale ²⁵
	0.200	0.23	05/29/20	0.72	...	-0.49	10 of 54 - Sale ²⁵
	0.160	0.18	05/29/20	0.58	...	-0.40	11 of 54 - Sale ²⁵
	0.040	0.05	05/29/20	0.14	...	-0.09	12 of 54 - Sale ²⁵
	2.000	2.26	06/02/20	7.60	...	-5.34	13 of 54 - Sale ²⁵
	7.600	8.59	06/03/20	28.75	...	-20.16	14 of 54 - Sale ²⁵
	2.400	2.71	06/03/20	9.09	...	-6.38	15 of 54 - Sale ²⁵
	2.520	2.85	06/04/20	10.63	...	-7.78	16 of 54 - Sale ²⁵
	0.280	0.32	06/04/20	1.18	...	-0.86	17 of 54 - Sale ²⁵
	0.200	0.23	06/04/20	1.01	...	-0.78	18 of 54 - Sale ²⁵
	56.000	63.26	06/05/20	300.58	...	-237.32	19 of 54 - Sale ²⁵

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(continued)

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TOP SHIPS, INC. COMMON STOCK / CUSIP: Y8897Y180 / Symbol: (cont'd)							
	19.200	21.69	06/05/20	106.66	...	-84.97	20 of 54 - Sale ²⁵
	16.000	18.08	06/05/20	89.67	...	-71.59	21 of 54 - Sale ²⁵
	16.000	18.07	06/05/20	85.80	...	-67.73	22 of 54 - Sale ²⁵
	12.880	14.55	06/05/20	72.30	...	-57.75	23 of 54 - Sale ²⁵
	8.000	9.04	06/05/20	42.88	...	-33.84	24 of 54 - Sale ²⁵
	5.000	5.65	06/05/20	26.80	...	-21.15	25 of 54 - Sale ²⁵
	5.200	5.87	06/05/20	26.64	...	-20.77	26 of 54 - Sale ²⁵
	4.000	4.52	06/05/20	22.42	...	-17.90	27 of 54 - Sale ²⁵
	3.720	4.20	06/05/20	20.85	...	-16.65	28 of 54 - Sale ²⁵
	3.200	3.61	06/05/20	17.94	...	-14.33	29 of 54 - Sale ²⁵
	2.400	2.71	06/05/20	13.45	...	-10.74	30 of 54 - Sale ²⁵
	1.800	2.03	06/05/20	10.10	...	-8.07	31 of 54 - Sale ²⁵
	1.200	1.36	06/05/20	6.67	...	-5.31	32 of 54 - Sale ²⁵
	1.120	1.27	06/05/20	6.29	...	-5.02	33 of 54 - Sale ²⁵
	0.280	0.32	06/05/20	1.56	...	-1.24	34 of 54 - Sale ²⁵
	0.240	0.27	06/05/20	1.35	...	-1.08	35 of 54 - Sale ²⁵
	0.240	0.27	06/05/20	1.35	...	-1.08	36 of 54 - Sale ²⁵
	0.200	0.23	06/05/20	1.11	...	-0.88	37 of 54 - Sale ²⁵
	0.200	0.23	06/05/20	1.10	...	-0.87	38 of 54 - Sale ²⁵
	0.080	0.09	06/05/20	0.45	...	-0.36	39 of 54 - Sale ²⁵
	0.040	0.05	06/05/20	0.22	...	-0.17	40 of 54 - Sale ²⁵
	34.000	38.41	06/11/20	136.96	...	-98.55	41 of 54 - Sale ²⁵
	9.280	10.49	06/11/20	37.05	...	-26.56	42 of 54 - Sale ²⁵
	8.200	9.26	06/11/20	31.62	...	-22.36	43 of 54 - Sale ²⁵
	8.400	9.70	06/11/20	30.09	...	-20.39	44 of 54 - Sale ²⁵
	4.800	5.54	06/11/20	18.49	...	-12.95	45 of 54 - Sale ²⁵
	4.000	4.62	06/11/20	15.43	...	-10.81	46 of 54 - Sale ²⁵
	2.800	3.24	06/11/20	10.86	...	-7.62	47 of 54 - Sale ²⁵
	2.400	2.71	06/11/20	9.68	...	-6.97	48 of 54 - Sale ²⁵
	2.320	2.62	06/11/20	9.37	...	-6.75	49 of 54 - Sale ²⁵
	2.320	2.62	06/11/20	9.36	...	-6.74	50 of 54 - Sale ²⁵
	2.320	2.62	06/11/20	9.26	...	-6.64	51 of 54 - Sale ²⁵
	1.680	1.90	06/11/20	6.79	...	-4.89	52 of 54 - Sale ²⁵
	0.200	0.23	06/11/20	0.80	...	-0.57	53 of 54 - Sale ²⁵

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

Robinhood Securities LLC

Account 115422180

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: (cont'd)							
09/21/20	0.080	0.09	06/11/20	0.33	...	-0.24	54 of 54 - Sale ²⁵
	320.000	362.06	Various	1,476.71	...	-1,114.65	Total of 54 transactions
	41 transactions for 09/22/20. Total proceeds and cost reported to the IRS.						
	7.800	8.85	06/11/20	27.94	...	-19.09	1 of 41 - Sale ²⁵
	2.800	3.18	06/11/20	10.00	...	-6.82	2 of 41 - Sale ²⁵
	0.200	0.23	06/11/20	0.72	...	-0.49	3 of 41 - Sale ²⁵
	13.600	15.43	06/22/20	50.08	...	-34.65	4 of 41 - Sale ²⁵
	8.000	9.08	06/22/20	29.46	...	-20.38	5 of 41 - Sale ²⁵
	2.400	2.72	06/22/20	10.76	...	-8.04	6 of 41 - Sale ²⁵
	2.400	2.72	06/22/20	8.86	...	-6.14	7 of 41 - Sale ²⁵
	120.000	136.19	06/24/20	437.40	...	-301.21	8 of 41 - Sale ²⁵
	112.120	127.25	06/24/20	412.04	...	-284.79	9 of 41 - Sale ²⁵
	77.200	87.61	06/24/20	283.71	...	-196.10	10 of 41 - Sale ²⁵
	20.000	22.70	06/24/20	72.05	...	-49.35	11 of 41 - Sale ²⁵
	20.000	22.70	06/24/20	70.95	...	-48.25	12 of 41 - Sale ²⁵
	16.000	18.16	06/24/20	58.12	...	-39.96	13 of 41 - Sale ²⁵
	16.000	18.16	06/24/20	57.30	...	-39.14	14 of 41 - Sale ²⁵
	16.000	18.16	06/24/20	57.28	...	-39.12	15 of 41 - Sale ²⁵
	10.680	12.12	06/24/20	39.25	...	-27.13	16 of 41 - Sale ²⁵
	4.000	4.54	06/24/20	14.53	...	-9.99	17 of 41 - Sale ²⁵
	4.000	4.54	06/24/20	14.32	...	-9.78	18 of 41 - Sale ²⁵
	2.000	2.27	06/24/20	7.22	...	-4.95	19 of 41 - Sale ²⁵
	0.720	0.82	06/25/20	2.53	...	-1.71	20 of 41 - Sale ²⁵
	80.000	90.78	06/26/20	272.99	...	-182.21	21 of 41 - Sale ²⁵
	6.000	6.81	06/26/20	20.66	...	-13.85	22 of 41 - Sale ²⁵
	1.280	1.45	06/26/20	4.36	...	-2.91	23 of 41 - Sale ²⁵
	0.600	0.68	06/26/20	2.01	...	-1.33	24 of 41 - Sale ²⁵
	4.000	4.54	06/29/20	13.79	...	-9.25	25 of 41 - Sale ²⁵
	1.600	1.82	06/29/20	5.48	...	-3.66	26 of 41 - Sale ²⁵
	0.200	0.23	06/29/20	0.69	...	-0.46	27 of 41 - Sale ²⁵
	1.800	2.04	06/30/20	6.09	...	-4.05	28 of 41 - Sale ²⁵
	0.200	0.23	06/30/20	0.68	...	-0.45	29 of 41 - Sale ²⁵
	16.000	18.16	07/07/20	43.94	...	-25.78	30 of 41 - Sale ²⁵
	2.000	2.27	07/07/20	5.34	...	-3.07	31 of 41 - Sale ²⁵

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Robinhood Securities LLC

Account 115422180

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: (cont'd)							
	2.000	2.27	07/08/20	5.36	...	-3.09	32 of 41 - Sale ²⁵
	4.000	4.54	07/09/20	10.99	...	-6.45	33 of 41 - Sale ²⁵
	1.200	1.36	07/09/20	3.30	...	-1.94	34 of 41 - Sale ²⁵
	0.800	0.91	07/09/20	2.20	...	-1.29	35 of 41 - Sale ²⁵
	0.600	0.68	07/10/20	1.62	...	-0.94	36 of 41 - Sale ²⁵
	0.120	0.14	07/10/20	0.34	...	-0.20	37 of 41 - Sale ²⁵
	4.000	4.54	07/14/20	10.18	...	-5.64	38 of 41 - Sale ²⁵
	3.680	4.17	07/15/20	9.74	...	-5.57	39 of 41 - Sale ²⁵
	8.000	9.07	08/06/20	20.10	...	-11.03	40 of 41 - Sale ²⁵
	6.000	6.81	09/08/20	21.07	...	-14.26	41 of 41 - Sale ²⁵
09/22/20	600.000	680.93	Various	2,125.45	...	-1,444.52	Total of 41 transactions
	Security total:	1,050.14		3,624.02	14.71 W	-2,559.17	
Totals :		221,582.08		246,088.44	11,333.53 W	-13,172.83	

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Robinhood Securities LLC

Account 115422180

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
DIREXION DAILY S&P OIL & GAS E XP. & PROD. BULL 2X SHARES	25460G500		06/30/20	0.05	Qualified dividend	
MICROSOFT CORPORATION COMMON S TOCK	594918104		03/12/20	1.53	Qualified dividend	
SM ENERGY COMPANY	78454L100		05/08/20	2.55	Qualified dividend	
			11/04/20	40.00	Qualified dividend	
				42.55	Total Dividends & distributions	
				44.13	Total Dividends & distributions	

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.