

<b>Robinhood Securities LLC</b> 500 Colonial Center Parkway Suite 100 Lake Mary, FL 32746 Customer Service: 650-940-2700  PAYER'S TIN: 38-4019216	<b>Tax Information</b> <b>Account 680246188</b>	Statement Date: 02/14/2021 Document ID: W132 7PC 6DFT	2020
	Shansanka p Arepally 8727 Fredericksburg Road Apt 2310 San Antonio, TX 78240  RECIPIENT'S TIN: XXX-XX-9678		

**Summary Information**

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

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

Term	Form 8949 type	Proceeds	Cost basis	Market discount	Wash sale loss disallowed	Net gain or loss(-)
Short	A (basis reported to the IRS)	34,720.11	38,207.63	0.00	827.69	-2,659.83
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)	8.93	4.85	0.00	0.00	4.08
	<b>Total Short-term</b>	<b>34,729.04</b>	<b>38,212.48</b>	<b>0.00</b>	<b>827.69</b>	<b>-2,655.75</b>
Long	D (basis reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Long	E (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Long	F (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
	<b>Total Long-term</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
Undetermined	B or E (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Undetermined	C or F (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
	<b>Total Undetermined-term</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
	<b>Grand total</b>	<b>34,729.04</b>	<b>38,212.48</b>	<b>0.00</b>	<b>827.69</b>	<b>-2,655.75</b>
<b>Withholding</b>		<b>Amount</b>				
	Federal income tax withheld	0.00				

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

Robinhood Securities LLC

Account 680246188

**Summary Information**

2020

(continued)

02/14/2021

**INTEREST INCOME****2020 1099-INT**

OMB No. 1545-0112

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

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

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

**STATE TAX WITHHELD**

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

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

**ORIGINAL ISSUE DISCOUNT AND ADJUSTMENTS**

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

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

**RECONCILIATIONS, FEES, EXPENSES AND EXPENDITURES**

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

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

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Account 680246188

**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
BIOMERICA, INC. COMMON STOCK / CUSIP: 09061H307 / Symbol:							
07/20/20	34.903	399.29	07/10/20	303.66	...	95.63	Sale <sup>25</sup>
	3 transactions for 07/21/20. Total proceeds and cost reported to the IRS.						
	0.029	0.27	07/10/20	0.25	...	0.02	1 of 3 - Sale <sup>25</sup>
	50.000	476.50	07/10/20	435.00	...	41.50	2 of 3 - Sale <sup>25</sup>
	53.000	503.47	07/10/20	461.09	...	42.38	3 of 3 - Sale <sup>25</sup>
07/21/20	103.029	980.24	Various	896.34	...	83.90	Total of 3 transactions
	<b>Security total:</b>	<b>1,379.53</b>		<b>1,200.00</b>	...	<b>179.53</b>	
CEMTREX INC. COMMON STOCK / CUSIP: 15130G600 / Symbol:							
02/14/20	400.000	511.93	02/05/20	532.00	...	-20.07	Sale <sup>25</sup>

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## Proceeds from Broker and Barter Exchange Transactions

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

(continued)

02/14/2021

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

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

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
CHEMBIO DIAGNOSTICS, INC. COMM ON STOCK / CUSIP: 163572209 / Symbol:							
2 transactions for 12/01/20. Total proceeds and cost reported to the IRS.							
	0.853	5.12	08/12/20	4.65	...	0.47	1 of 2 - Sale <sup>25</sup>
	17.147	102.88	08/12/20	93.62	...	9.26	2 of 2 - Sale <sup>25</sup>
12/01/20	18.000	108.00	Various	98.27	...	9.73	Total of 2 transactions
DOCUMENT SECURITY SYSTEMS, INC. / CUSIP: 25614T200 / Symbol:							
5 transactions for 04/30/20. Total proceeds and cost reported to the IRS.							
	840.000	257.21	04/22/20	301.56	...	-44.35	1 of 5 - Sale <sup>25</sup>
	157.000	48.07	04/22/20	57.24	...	-9.17	2 of 5 - Sale <sup>25</sup>
	108.000	33.07	04/22/20	39.41	...	-6.34	3 of 5 - Sale <sup>25</sup>
	100.000	30.62	04/22/20	36.46	...	-5.84	4 of 5 - Sale <sup>25</sup>
	100.000	30.62	04/22/20	36.45	...	-5.83	5 of 5 - Sale <sup>25</sup>
04/30/20	1,305.000	399.59	Various	471.12	...	-71.53	Total of 5 transactions
ENSERVCO CORP. / CUSIP: 29358Y102 / Symbol:							
2 transactions for 04/21/20. Total proceeds and cost reported to the IRS.							
	420.000	52.45	04/17/20	79.00	...	-26.55	1 of 2 - Sale <sup>25</sup>
	45.000	5.62	04/17/20	9.00	...	-3.38	2 of 2 - Sale <sup>25</sup>
04/21/20	465.000	58.07	Various	88.00	...	-29.93	Total of 2 transactions
EVOFEM BIOSCIENCES, INC. COMM ON STOCK / CUSIP: 30048L104 / Symbol:							
2 transactions for 08/19/20. Total proceeds and cost reported to the IRS.							
	0.201	0.70	07/31/20	0.60	...	0.10	1 of 2 - Sale <sup>25</sup>
	24.799	86.80	07/31/20	74.15	...	12.65	2 of 2 - Sale <sup>25</sup>
08/19/20	25.000	87.50	Various	74.75	...	12.75	Total of 2 transactions
IMAC HOLDINGS, INC. COMMON STOCK / CUSIP: 44967K104 / Symbol:							
02/14/20	800.000	802.92	02/13/20	767.76	...	35.16	Sale <sup>25</sup>
INDIA GLOBALIZATION CAPITAL, INC. / CUSIP: 45408X308 / Symbol:							
11/30/20	50.000	130.00	11/24/20	81.41	...	48.59	Sale <sup>25</sup>

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## Proceeds from Broker and Barter Exchange Transactions

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

(continued)

02/14/2021

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

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

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
KITOV PHARMA LTD. AMERICAN DEP OSITARY SHARES / CUSIP: 49803V107 / Symbol:							
05/08/20	330.000	122.56	05/06/20	121.51	...	1.05	Sale <sup>25</sup>
	<i>2 transactions for 05/29/20. Total proceeds and cost reported to the IRS.</i>						
	320.000	151.03	05/08/20	124.44	...	26.59	1 of 2 - Sale <sup>25</sup>
	2,050.000	967.54	05/12/20	952.23	...	15.31	2 of 2 - Sale <sup>25</sup>
05/29/20	2,370.000	1,118.57	Various	1,076.67	...	41.90	Total of 2 transactions
	<b>Security total:</b>	<b>1,241.13</b>		<b>1,198.18</b>	...	<b>42.95</b>	
MENLO THERAPEUTICS INC. COMMON STOCK / CUSIP: 586858102 / Symbol:							
	<i>4 transactions for 07/10/20. Total proceeds and cost reported to the IRS.</i>						
	540.000	917.91	05/29/20	1,463.34	...	-545.43	1 of 4 - Sale <sup>25</sup>
	100.000	169.99	05/29/20	270.99	...	-101.00	2 of 4 - Sale <sup>25</sup>
	100.000	169.99	05/29/20	270.99	...	-101.00	3 of 4 - Sale <sup>25</sup>
	0.741	1.26	05/29/20	2.01	...	-0.75	4 of 4 - Sale <sup>25</sup>
07/10/20	740.741	1,259.15	Various	2,007.33	...	-748.18	Total of 4 transactions
	<i>3 transactions for 07/16/20. Total proceeds and cost reported to the IRS.</i>						
	391.884	648.51	05/29/20	1,061.97	...	-413.46	1 of 3 - Sale <sup>25</sup>
	58.000	95.98	05/29/20	157.17	...	-61.19	2 of 3 - Sale <sup>25</sup>
	0.556	0.92	05/29/20	1.51	...	-0.59	3 of 3 - Sale <sup>25</sup>
07/16/20	450.439	745.41	Various	1,220.65	...	-475.24	Total of 3 transactions
	<b>Security total:</b>	<b>2,004.56</b>		<b>3,227.98</b>	...	<b>-1,223.42</b>	
MONEYGRAM INTERNATIONAL, INC. COMMON STOCK / CUSIP: 60935Y208 / Symbol:							
	<i>4 transactions for 04/24/20. Total proceeds and cost reported to the IRS.</i>						
	435.000	669.87	01/28/20	1,009.20	...	-339.33	1 of 4 - Sale <sup>25</sup>
	460.000	708.37	01/31/20	988.95	...	-280.58	2 of 4 - Sale <sup>25</sup>
	23.000	35.42	01/31/20	48.71	...	-13.29	3 of 4 - Sale <sup>25</sup>
	1.000	1.54	01/31/20	2.10	...	-0.56	4 of 4 - Sale <sup>25</sup>
04/24/20	919.000	1,415.20	Various	2,048.96	...	-633.76	Total of 4 transactions
NOVABAY PHARMACEUTICALS, INC. / CUSIP: 66987P201 / Symbol:							
	<i>4 transactions for 05/12/20. Total proceeds and cost reported to the IRS.</i>						
	1,000.000	989.75	05/06/20	1,090.00	...	-100.25	1 of 4 - Sale <sup>25</sup>
	500.000	499.94	05/06/20	545.00	...	-45.06	2 of 4 - Sale <sup>25</sup>

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**Proceeds from Broker and Barter Exchange Transactions**

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

(continued)

02/14/2021

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

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

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	7- Loss not allowed (X) also not reported (Z)	Gain or loss(-) & Additional information
NOVBAY PHARMACEUTICALS, INC. / CUSIP: 66987P201 / Symbol: (cont'd)							
	400.000	399.95	05/06/20	436.00	...	-36.05	3 of 4 - Sale <sup>25</sup>
	100.000	99.99	05/06/20	109.00	...	-9.01	4 of 4 - Sale <sup>25</sup>
05/12/20	2,000.000	1,989.63	Various	2,180.00	...	-190.37	Total of 4 transactions
NOVAN, INC. COMMON STOCK / CUSIP: 66988N106 / Symbol:							
05/29/20	2,400.000	965.97	05/20/20	924.00	...	41.97	Sale <sup>25</sup>
OCUGEN, INC. COMMON STOCK / CUSIP: 67577C105 / Symbol:							
2 transactions for 01/22/20. Total proceeds and cost reported to the IRS.							
	200.000	140.44	01/22/20	142.48	2.04 W	0.00	1 of 2 - Sale <sup>25</sup>
	200.000	140.14	01/22/20	141.68	1.54 W	0.00	2 of 2 - Sale <sup>25</sup>
01/22/20	400.000	280.58	Various	284.16	3.58 W	0.00	Total of 2 transactions
2 transactions for 02/11/20. Total proceeds and cost reported to the IRS.							
	200.000	116.03	01/30/20	117.04	...	-1.01	1 of 2 - Sale <sup>25</sup>
	1,300.000	754.22	01/30/20	747.50	...	6.72	2 of 2 - Sale <sup>25</sup>
02/11/20	1,500.000	870.25	Various	864.54	...	5.71	Total of 2 transactions
	<b>Security total:</b>	<b>1,150.83</b>		<b>1,148.70</b>	<b>3.58 W</b>	<b>5.71</b>	
PENNEY J C CORP INC COMMON STOCK / CUSIP: 708160106 / Symbol:							
07/15/20	325.000	96.58	05/13/20	79.27	...	17.31	Sale <sup>25</sup>
PLUS THERAPEUTICS, INC. COMMON STOCK / CUSIP: 72941H400 / Symbol:							
07/23/20	65.000	168.99	07/22/20	151.01	...	17.98	Sale <sup>25</sup>
08/06/20	42.000	126.00	07/22/20	97.58	...	28.42	Sale <sup>25</sup>
	<b>Security total:</b>	<b>294.99</b>		<b>248.59</b>	...	<b>46.40</b>	
SG BLOCKS, INC. COMMON STOCK / CUSIP: 78418A505 / Symbol:							
03/31/20	510.000	1,937.89	02/18/20	1,344.97	...	592.92	Sale <sup>25</sup>
SIGMA LABS, INC. COMMON STOCK / CUSIP: 826598500 / Symbol:							
04/27/20	670.000	1,641.38	04/01/20	1,936.23	...	-294.85	Sale <sup>25</sup>

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Robinhood Securities LLC

Account 680246188

## Proceeds from Broker and Barter Exchange Transactions

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

(continued)

02/14/2021

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
SONNET BIOTHERAPEUTICS HOLDING S, INC. COMMON STOCK / CUSIP: 83548R105 / Symbol:							
3 transactions for 04/28/20. Total proceeds and cost reported to the IRS.							
	182.000	900.88	04/24/20	928.16	...	-27.28	1 of 3 - Sale <sup>25</sup>
	60.000	296.99	04/24/20	305.99	...	-9.00	2 of 3 - Sale <sup>25</sup>
	23.000	113.85	04/24/20	117.30	...	-3.45	3 of 3 - Sale <sup>25</sup>
04/28/20	265.000	1,311.72	Various	1,351.45	...	-39.73	Total of 3 transactions
TITAN PHARMACEUTICALS, INC. CO MMON STOCK / CUSIP: 888314507 / Symbol:							
5 transactions for 04/22/20. Total proceeds and cost reported to the IRS.							
	100.000	22.64	01/21/20	37.19	...	-14.55	1 of 5 - Sale <sup>25</sup>
	100.000	22.65	01/21/20	37.19	...	-14.54	2 of 5 - Sale <sup>25</sup>
	100.000	22.65	01/21/20	37.19	...	-14.54	3 of 5 - Sale <sup>25</sup>
	100.000	22.65	01/21/20	37.19	...	-14.54	4 of 5 - Sale <sup>25</sup>
	100.000	22.65	01/21/20	37.19	...	-14.54	5 of 5 - Sale <sup>25</sup>
04/22/20	500.000	113.24	Various	185.95	...	-72.71	Total of 5 transactions
TONIX PHARMACEUTICALS HOLDING CORP. COMMON STOCK / CUSIP: 890260706 / Symbol:							
4 transactions for 05/05/20. Total proceeds and cost reported to the IRS.							
	1,600.000	1,153.85	05/04/20	1,182.40	...	-28.55	1 of 4 - Sale <sup>25</sup>
	200.000	144.23	05/04/20	147.70	...	-3.47	2 of 4 - Sale <sup>25</sup>
	100.000	72.12	05/04/20	73.85	...	-1.73	3 of 4 - Sale <sup>25</sup>
	100.000	72.12	05/04/20	73.85	...	-1.73	4 of 4 - Sale <sup>25</sup>
05/05/20	2,000.000	1,442.32	Various	1,477.80	...	-35.48	Total of 4 transactions
TREVENA, INC. COMMON STOCK / CUSIP: 89532E109 / Symbol:							
2 transactions for 08/03/20. Total proceeds and cost reported to the IRS.							
	0.912	2.31	07/28/20	2.07	...	0.24	1 of 2 - Sale <sup>25</sup>
	59.088	149.48	07/28/20	134.72	...	14.76	2 of 2 - Sale <sup>25</sup>
08/03/20	60.000	151.79	Various	136.79	...	15.00	Total of 2 transactions
TRINITY BIOTECH PLC AMERICAN D EPOSITARY SHARES / CUSIP: 896438306 / Symbol:							
11/23/20	100.000	349.99	07/21/20	316.50	...	33.49	Sale <sup>25</sup>

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Robinhood Securities LLC

Account 680246188

**Proceeds from Broker and Barter Exchange Transactions**

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

(continued)

02/14/2021

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VISLINK TECHNOLOGIES, INC. COM MON STOCK / CUSIP: 92836Y201 / Symbol:							
2 transactions for 04/28/20. Total proceeds and cost reported to the IRS.							
	285.000	71.79	04/27/20	65.52	...	6.27	1 of 2 - Sale <sup>25</sup>
	6,215.000	1,565.40	04/27/20	1,428.83	...	136.57	2 of 2 - Sale <sup>25</sup>
04/28/20	6,500.000	1,637.19	Various	1,494.35	...	142.84	Total of 2 transactions
04/28/20	815.000	205.28	04/27/20	211.00	5.72 W	0.00	Sale <sup>25</sup>
3 transactions for 05/05/20. Total proceeds and cost reported to the IRS.							
	815.000	221.18	04/30/20	335.80	...	-114.62	1 of 3 - Sale <sup>25</sup>
	135.000	36.63	04/30/20	54.67	...	-18.04	2 of 3 - Sale <sup>25</sup>
	60.000	16.29	04/30/20	23.76	...	-7.47	3 of 3 - Sale <sup>25</sup>
05/05/20	1,010.000	274.10	Various	414.23	...	-140.13	Total of 3 transactions
	<b>Security total:</b>	<b>2,116.57</b>		<b>2,119.58</b>	<b>5.72 W</b>	<b>2.71</b>	
ZION OIL & GAS INC COMMON STOC K / CUSIP: 989696109 / Symbol:							
9 transactions for 04/21/20. Total proceeds and cost reported to the IRS.							
	700.000	134.60	02/06/20	243.72	...	-109.12	1 of 9 - Sale <sup>25</sup>
	200.000	38.41	02/06/20	69.63	...	-31.22	2 of 9 - Sale <sup>25</sup>
	100.000	19.23	02/06/20	34.82	...	-15.59	3 of 9 - Sale <sup>25</sup>
	100.000	19.21	02/06/20	31.48	...	-12.27	4 of 9 - Sale <sup>25</sup>
	100.000	19.21	02/06/20	31.48	...	-12.27	5 of 9 - Sale <sup>25</sup>
	82.000	15.75	02/06/20	25.83	...	-10.08	6 of 9 - Sale <sup>25</sup>
	38.000	7.30	02/06/20	11.96	...	-4.66	7 of 9 - Sale <sup>25</sup>
	37.000	7.11	02/06/20	11.65	...	-4.54	8 of 9 - Sale <sup>25</sup>
	25.000	4.80	02/06/20	7.88	...	-3.08	9 of 9 - Sale <sup>25</sup>
04/21/20	1,382.000	265.62	Various	468.45	...	-202.83	Total of 9 transactions
ZOMEDICA PHARMACEUTICALS CORP. / CUSIP: 98979F107 / Symbol:							
04/22/20	445.000	65.23	02/19/20	69.87	4.64 W	0.00	Sale <sup>25</sup>
04/29/20	850.000	161.39	04/28/20	160.61	...	0.78	Sale <sup>25</sup>
20 transactions for 04/29/20. Total proceeds and cost reported to the IRS.							
	9,280.000	1,762.04	04/28/20	1,791.04	20.25 W	-8.75	1 of 20 - Sale <sup>25</sup>
	200.000	37.98	04/28/20	40.59	2.61 W	0.00	2 of 20 - Sale <sup>25</sup>
	200.000	37.98	04/28/20	40.58	2.60 W	0.00	3 of 20 - Sale <sup>25</sup>
	45.000	8.54	04/28/20	9.13	0.59 W	0.00	4 of 20 - Sale <sup>25</sup>
	155.000	29.43	04/28/20	29.84	0.41 W	0.00	5 of 20 - Sale <sup>25</sup>

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## Proceeds from Broker and Barter Exchange Transactions

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

(continued)

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ZOMEDICA PHARMACEUTICALS CORP. / CUSIP: 98979F107 / Symbol: (cont'd)							
	200.000	37.98	04/28/20	38.50	0.52 W	0.00	6 of 20 - Sale <sup>25</sup>
	200.000	37.97	04/28/20	38.50	0.53 W	0.00	7 of 20 - Sale <sup>25</sup>
	100.000	18.99	04/28/20	19.30	0.31 W	0.00	8 of 20 - Sale <sup>25</sup>
	900.000	170.89	04/28/20	173.70	2.81 W	0.00	9 of 20 - Sale <sup>25</sup>
	45.000	8.54	04/28/20	9.28	0.74 W	0.00	10 of 20 - Sale <sup>25</sup>
	200.000	37.98	04/28/20	41.21	3.23 W	0.00	11 of 20 - Sale <sup>25</sup>
	200.000	37.98	04/28/20	41.20	3.22 W	0.00	12 of 20 - Sale <sup>25</sup>
	100.000	18.99	04/28/20	19.61	0.62 W	0.00	13 of 20 - Sale <sup>25</sup>
	155.000	29.43	04/28/20	30.32	0.89 W	0.00	14 of 20 - Sale <sup>25</sup>
	200.000	37.98	04/28/20	39.12	1.14 W	0.00	15 of 20 - Sale <sup>25</sup>
	200.000	37.98	04/28/20	39.13	1.15 W	0.00	16 of 20 - Sale <sup>25</sup>
	1,500.000	284.81	04/28/20	289.50	4.69 W	0.00	17 of 20 - Sale <sup>25</sup>
	900.000	170.89	04/28/20	176.51	5.62 W	0.00	18 of 20 - Sale <sup>25</sup>
	620.000	117.72	04/28/20	119.66	1.94 W	0.00	19 of 20 - Sale <sup>25</sup>
	100.000	18.99	04/28/20	19.30	0.31 W	0.00	20 of 20 - Sale <sup>25</sup>
04/29/20	15,500.000	2,943.09	Various	3,006.02	54.18 W	-8.75	Total of 20 transactions
	15 transactions for 05/05/20. Total proceeds and cost reported to the IRS.						
	45.000	9.69	05/04/20	9.26	...	0.43	1 of 15 - Sale <sup>25</sup>
	100.000	21.53	05/04/20	20.56	...	0.97	2 of 15 - Sale <sup>25</sup>
	100.000	21.53	05/04/20	20.55	...	0.98	3 of 15 - Sale <sup>25</sup>
	200.000	43.06	05/04/20	41.10	...	1.96	4 of 15 - Sale <sup>25</sup>
	100.000	21.53	05/04/20	19.56	...	1.97	5 of 15 - Sale <sup>25</sup>
	100.000	21.53	05/04/20	19.25	...	2.28	6 of 15 - Sale <sup>25</sup>
	155.000	33.37	05/04/20	30.25	...	3.12	7 of 15 - Sale <sup>25</sup>
	200.000	43.05	05/04/20	39.03	...	4.02	8 of 15 - Sale <sup>25</sup>
	200.000	43.05	05/04/20	39.02	...	4.03	9 of 15 - Sale <sup>25</sup>
	200.000	43.06	05/04/20	38.51	...	4.55	10 of 15 - Sale <sup>25</sup>
	300.000	64.58	05/04/20	57.76	...	6.82	11 of 15 - Sale <sup>25</sup>
	620.000	133.47	05/04/20	119.37	...	14.10	12 of 15 - Sale <sup>25</sup>
	900.000	193.75	05/04/20	176.08	...	17.67	13 of 15 - Sale <sup>25</sup>
	1,000.000	215.27	05/04/20	192.52	...	22.75	14 of 15 - Sale <sup>25</sup>
	6,480.000	1,394.98	05/04/20	1,247.56	...	147.42	15 of 15 - Sale <sup>25</sup>
05/05/20	10,700.000	2,303.45	Various	2,070.38	...	233.07	Total of 15 transactions
	<b>Security total:</b>	<b>5,473.16</b>		<b>5,306.88</b>	<b>58.82 W</b>	<b>225.10</b>	

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Account 680246188

**Proceeds from Broker and Barter Exchange Transactions**

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

(continued)

02/14/2021

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SPI ENERGY CO., LTD. ORDINARY SHARES / CUSIP: G8651P110 / Symbol:							
05/01/20	640.000	973.01	02/20/20	921.60	...	51.41	Sale <sup>25</sup>
VALARIS PLC ORDINARY SHARES / CUSIP: G9402V109 / Symbol:							
<i>5 transactions for 05/20/20. Total proceeds and cost reported to the IRS.</i>							
	600.000	198.03	05/05/20	271.80	...	-73.77	1 of 5 - Sale <sup>25</sup>
	220.000	72.61	05/05/20	128.99	...	-56.38	2 of 5 - Sale <sup>25</sup>
	180.000	59.41	05/05/20	105.52	...	-46.11	3 of 5 - Sale <sup>25</sup>
	2,600.000	858.14	05/13/20	1,229.10	...	-370.96	4 of 5 - Sale <sup>25</sup>
	200.000	66.01	05/13/20	68.78	...	-2.77	5 of 5 - Sale <sup>25</sup>
05/20/20	3,800.000	1,254.20	Various	1,804.19	...	-549.99	Total of 5 transactions
<i>2 transactions for 05/20/20. Total proceeds and cost reported to the IRS.</i>							
	220.000	71.32	05/05/20	100.65	29.33 W	0.00	1 of 2 - Sale <sup>25</sup>
	2,780.000	901.19	05/05/20	1,259.34	358.15 W	0.00	2 of 2 - Sale <sup>25</sup>
05/20/20	3,000.000	972.51	Various	1,359.99	387.48 W	0.00	Total of 2 transactions
	<b>Security total:</b>	<b>2,226.71</b>		<b>3,164.18</b>	<b>387.48 W</b>	<b>-549.99</b>	
SEANERGY MARITIME HOLDINGS COR P COMMON STOCK / CUSIP: Y73760301 / Symbol:							
<i>2 transactions for 04/22/20. Total proceeds and cost reported to the IRS.</i>							
	1,875.000	286.66	04/21/20	311.25	24.59 W	0.00	1 of 2 - Sale <sup>25</sup>
	90.000	13.75	04/21/20	14.67	0.92 W	0.00	2 of 2 - Sale <sup>25</sup>
04/22/20	1,965.000	300.41	Various	325.92	25.51 W	0.00	Total of 2 transactions
<i>8 transactions for 05/01/20. Total proceeds and cost reported to the IRS.</i>							
	1,199.000	173.71	04/29/20	202.87	...	-29.16	1 of 8 - Sale <sup>25</sup>
	700.000	101.41	04/29/20	119.70	...	-18.29	2 of 8 - Sale <sup>25</sup>
	300.000	43.46	04/29/20	51.15	...	-7.69	3 of 8 - Sale <sup>25</sup>
	300.000	43.46	04/29/20	51.15	...	-7.69	4 of 8 - Sale <sup>25</sup>
	200.000	28.97	04/29/20	34.10	...	-5.13	5 of 8 - Sale <sup>25</sup>
	100.000	14.49	04/29/20	17.05	...	-2.56	6 of 8 - Sale <sup>25</sup>
	100.000	14.49	04/29/20	17.05	...	-2.56	7 of 8 - Sale <sup>25</sup>
	1.000	0.15	04/29/20	0.21	...	-0.06	8 of 8 - Sale <sup>25</sup>
05/01/20	2,900.000	420.14	Various	493.28	...	-73.14	Total of 8 transactions

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

(continued)

02/14/2021

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SEANERGY MARITIME HOLDINGS COR P COMMON STOCK / CUSIP: Y73760301 / Symbol: (cont'd)							
26 transactions for 05/01/20. Total proceeds and cost reported to the IRS.							
	7,800.000	1,130.03	04/29/20	1,333.80	78.79 W	-124.98	1 of 26 - Sale <sup>25</sup>
	500.000	72.44	04/29/20	91.81	19.37 W	0.00	2 of 26 - Sale <sup>25</sup>
	500.000	72.44	04/29/20	91.81	19.37 W	0.00	3 of 26 - Sale <sup>25</sup>
	295.000	42.75	04/29/20	54.16	11.41 W	0.00	4 of 26 - Sale <sup>25</sup>
	205.000	29.70	04/29/20	37.64	7.94 W	0.00	5 of 26 - Sale <sup>25</sup>
	200.000	28.98	04/29/20	36.72	7.74 W	0.00	6 of 26 - Sale <sup>25</sup>
	235.000	34.05	04/29/20	49.17	15.12 W	0.00	7 of 26 - Sale <sup>25</sup>
	500.000	72.44	04/29/20	104.62	32.18 W	0.00	8 of 26 - Sale <sup>25</sup>
	90.000	13.04	04/29/20	16.26	3.22 W	0.00	9 of 26 - Sale <sup>25</sup>
	175.000	25.35	04/29/20	32.14	6.79 W	0.00	10 of 26 - Sale <sup>25</sup>
	265.000	38.39	04/29/20	55.45	17.06 W	0.00	11 of 26 - Sale <sup>25</sup>
	295.000	42.74	04/29/20	61.71	18.97 W	0.00	12 of 26 - Sale <sup>25</sup>
	240.000	34.77	04/29/20	40.92	6.15 W	0.00	13 of 26 - Sale <sup>25</sup>
	400.000	57.95	04/29/20	68.20	10.25 W	0.00	14 of 26 - Sale <sup>25</sup>
	600.000	86.93	04/29/20	102.30	15.37 W	0.00	15 of 26 - Sale <sup>25</sup>
	100.000	14.49	04/29/20	17.05	2.56 W	0.00	16 of 26 - Sale <sup>25</sup>
	500.000	72.44	04/29/20	85.25	12.81 W	0.00	17 of 26 - Sale <sup>25</sup>
	200.000	28.98	04/29/20	34.10	5.12 W	0.00	18 of 26 - Sale <sup>25</sup>
	200.000	28.98	04/29/20	34.10	5.12 W	0.00	19 of 26 - Sale <sup>25</sup>
	300.000	43.46	04/29/20	51.15	7.69 W	0.00	20 of 26 - Sale <sup>25</sup>
	100.000	14.49	04/29/20	17.05	2.56 W	0.00	21 of 26 - Sale <sup>25</sup>
	100.000	14.49	04/29/20	17.05	2.56 W	0.00	22 of 26 - Sale <sup>25</sup>
	500.000	72.44	04/29/20	85.25	12.81 W	0.00	23 of 26 - Sale <sup>25</sup>
	400.000	57.95	04/29/20	68.20	10.25 W	0.00	24 of 26 - Sale <sup>25</sup>
	200.000	28.98	04/29/20	34.10	5.12 W	0.00	25 of 26 - Sale <sup>25</sup>
	400.000	57.95	04/29/20	68.20	10.25 W	0.00	26 of 26 - Sale <sup>25</sup>
05/01/20	15,300.000	2,216.65	Various	2,688.21	346.58 W	-124.98	Total of 26 transactions
25 transactions for 05/29/20. Total proceeds and cost reported to the IRS.							
	2,696.000	334.24	05/20/20	452.19	...	-117.95	1 of 25 - Sale <sup>25</sup>
	500.000	61.99	05/20/20	102.98	...	-40.99	2 of 25 - Sale <sup>25</sup>
	600.000	74.39	05/20/20	100.33	...	-25.94	3 of 25 - Sale <sup>25</sup>
	295.000	36.57	05/20/20	60.74	...	-24.17	4 of 25 - Sale <sup>25</sup>
	265.000	32.85	05/20/20	54.58	...	-21.73	5 of 25 - Sale <sup>25</sup>

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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
SEANERGY MARITIME HOLDINGS COR P COMMON STOCK / CUSIP: Y73760301 / Symbol: (cont'd)							
	500.000	61.99	05/20/20	83.61	...	-21.62	6 of 25 - Sale <sup>25</sup>
	500.000	61.99	05/20/20	83.61	...	-21.62	7 of 25 - Sale <sup>25</sup>
	235.000	29.13	05/20/20	48.40	...	-19.27	8 of 25 - Sale <sup>25</sup>
	400.000	49.59	05/20/20	66.89	...	-17.30	9 of 25 - Sale <sup>25</sup>
	400.000	49.59	05/20/20	66.89	...	-17.30	10 of 25 - Sale <sup>25</sup>
	400.000	49.59	05/20/20	66.89	...	-17.30	11 of 25 - Sale <sup>25</sup>
	300.000	37.19	05/20/20	50.17	...	-12.98	12 of 25 - Sale <sup>25</sup>
	204.000	25.29	05/20/20	36.79	...	-11.50	13 of 25 - Sale <sup>25</sup>
	200.000	24.80	05/20/20	36.06	...	-11.26	14 of 25 - Sale <sup>25</sup>
	240.000	29.75	05/20/20	40.13	...	-10.38	15 of 25 - Sale <sup>25</sup>
	175.000	21.70	05/20/20	31.57	...	-9.87	16 of 25 - Sale <sup>25</sup>
	200.000	24.80	05/20/20	33.44	...	-8.64	17 of 25 - Sale <sup>25</sup>
	200.000	24.80	05/20/20	33.44	...	-8.64	18 of 25 - Sale <sup>25</sup>
	200.000	24.80	05/20/20	33.44	...	-8.64	19 of 25 - Sale <sup>25</sup>
	90.000	11.16	05/20/20	15.96	...	-4.80	20 of 25 - Sale <sup>25</sup>
	100.000	12.40	05/20/20	16.72	...	-4.32	21 of 25 - Sale <sup>25</sup>
	100.000	12.40	05/20/20	16.72	...	-4.32	22 of 25 - Sale <sup>25</sup>
	100.000	12.40	05/20/20	16.72	...	-4.32	23 of 25 - Sale <sup>25</sup>
	300.000	37.19	05/21/20	49.29	...	-12.10	24 of 25 - Sale <sup>25</sup>
	20.000	2.48	05/21/20	3.29	...	-0.81	25 of 25 - Sale <sup>25</sup>
05/29/20	9,220.000	1,143.08	Various	1,600.85	...	-457.77	Total of 25 transactions
	<b>Security total:</b>	<b>4,080.28</b>		<b>5,108.26</b>	<b>372.09 W</b>	<b>-655.89</b>	
<b>Totals :</b>		<b>34,720.11</b>		<b>38,207.63</b>	<b>827.69 W</b>	<b>-2,659.83</b>	

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

Robinhood Securities LLC

Account 680246188

**Proceeds Not Reported to the IRS**

2020

02/14/2021

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

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

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

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

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

**Description of property**

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
T-MOBILE US, INC. COMMON STOCK / CUSIP: 872590104 / Symbol:							
04/06/20	0.103	8.93	01/16/20	4.85	...	4.08	Gain or loss
<b>Totals:</b>		<b>8.93</b>		<b>4.85</b>	...	<b>4.08</b>	

Robinhood Securities LLC

Account 680246188

## Non-Reportable Actions

2020

02/14/2021

Security Description	CUSIP and/or symbol	Date	Quantity	Amount	Transaction type	Notes
FIKER INC.	33813J106	10/30/20	35.47	0.00	Exchange	
SPARTAN ENERGY ACQUISITION COR P.	846784106	10/30/20	-35.47	0.00	Exchange	
SPRINT CORPORATION	85207U105	04/01/20	-1.00	0.00	Merger	

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

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**Common Instructions for Recipient**

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

**Instructions for Recipient**

(whichever is applicable) as explained in the Instructions for Schedule D (Form 1040 or 1040-SR).

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

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

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

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

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

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

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

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

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

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

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

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

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