

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 124792714	Statement Date: 02/14/2021 Document ID: 8318 75J B2UR	2020
	Ramakanth Kadaveru 3403 Timberglen Dr Imperial, PA 15126 RECIPIENT'S TIN: XXX-XX-2372		

Summary Information

<p>DIVIDENDS AND DISTRIBUTIONS 2020 1099-DIV* OMB No. 1545-0110</p> <p>1a- Total ordinary dividends (includes lines 1b, 5) 202.18</p> <p>1b- Qualified dividends 98.99</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 1.68</p> <p>4- Federal income tax withheld 0.00</p> <p>5- Section 199A dividends 0.18</p> <p>6- Investment expenses 0.00</p> <p>8- Foreign country or US possession: See detail 20.59</p> <p>9- Cash liquidation distributions 0.00</p> <p>10- Noncash liquidation distributions 0.00</p> <p>11- Exempt-interest dividends (includes line 12) 0.00</p> <p>12- Specified private activity bond interest dividends (AMT) 0.00</p>	<p>MISCELLANEOUS INCOME 2020 1099-MISC* OMB No. 1545-0115</p> <p>2- Royalties 0.00</p> <p>3- Other income 0.00</p> <p>4- Federal income tax withheld 0.00</p> <p>8- Substitute payments in lieu of dividends or interest 0.00</p> <p>SECTION 1256 CONTRACTS 2020 1099-B* OMB No. 1545-0715</p> <p>8- Profit or (loss) realized in 2020 on closed contracts 0.00</p> <p>9- Unrealized profit or (loss) on open contracts-12/31/2019 0.00</p> <p>10- Unrealized profit or (loss) on open contracts-12/31/2020 0.00</p> <p>11- Aggregate profit or (loss) on contracts 0.00</p> <p style="text-align: center;"><i>If applicable, proceeds from sale transactions appear summarized below and are detailed in subsequent sections of this document.</i></p>
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SUMMARY OF PROCEEDS, GAINS & LOSSES, ADJUSTMENTS AND WITHHOLDING

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

Term	Form 8949 type	Proceeds	Cost basis	Market discount	Wash sale loss disallowed	Net gain or loss(-)
Short	A (basis reported to the IRS)	59,883.78	54,687.22	0.00	640.48	5,837.04
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)	5.92	188.30	0.00	0.00	-182.38
	Total Short-term	59,889.70	54,875.52	0.00	640.48	5,654.66
Long	D (basis reported to the IRS)	194.78	640.13	0.00	0.00	-445.35
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)	1.05	530.76	0.00	0.00	-529.71
	Total Long-term	195.83	1,170.89	0.00	0.00	-975.06
Undetermined	B or E (basis not reported to the IRS)	1.95	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	1.95	0.00	0.00	0.00	0.00
	Grand total	60,087.48	56,046.41	0.00	640.48	4,679.60
Withholding		Amount				
	Federal income tax withheld	0.00				

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

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Summary Information

2020

(continued)

02/14/2021

INTEREST INCOME

2020 1099-INT

OMB No. 1545-0112

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1- Interest income (not included in line 3)	0.00
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

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Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

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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
ACELRX PHARMACEUTICALS, INC. C OMMON STOCK / CUSIP: 00444T100 / Symbol:							
06/05/20	15.000	21.45	10/31/19	30.00	...	-8.55	Sale ²⁵
06/16/20	40.000	56.09	10/31/19	80.00	...	-23.91	Sale ²⁵
08/19/20	30.000	45.00	10/31/19	60.00	...	-15.00	Sale ²⁵
	2 transactions for 09/21/20. Total proceeds and cost reported to the IRS.						
	15.000	29.25	10/31/19	30.00	...	-0.75	1 of 2 - Sale ²⁵
	5.000	9.75	10/31/19	9.99	...	-0.24	2 of 2 - Sale ²⁵
09/21/20	20.000	39.00	Various	39.99	...	-0.99	Total of 2 transactions
	Security total:	161.54		209.99	...	-48.45	
ADVAXIS, INC. COMMON STOCK / CUSIP: 007624307 / Symbol:							
07/07/20	1.000	0.54	02/11/20	1.24	...	-0.70	Sale ²⁵

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Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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

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1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
AETERNA ZENTARIS INC. COMMON S TOCK / CUSIP: 007975402 / Symbol:							
2 transactions for 07/22/20. Total proceeds and cost reported to the IRS.							
	300.000	155.96	07/07/20	153.00	...	2.96	1 of 2 - Sale ²⁵
	700.000	363.90	07/07/20	356.93	...	6.97	2 of 2 - Sale ²⁵
07/22/20	1,000.000	519.86	Various	509.93	...	9.93	Total of 2 transactions
AGILE THERAPEUTICS, INC. COMMO N STOCK / CUSIP: 00847L100 / Symbol:							
07/22/20	1.000	2.49	10/28/19	0.50	...	1.99	Sale ²⁵
ALTIMMUNE, INC. COMMON STOCK / CUSIP: 02155H200 / Symbol:							
03/26/20	50.000	174.49	01/31/20	86.00	...	88.49	Sale ²⁵
AMERICAN AIRLINES GROUP INC. C OMMON STOCK / CUSIP: 02376R102 / Symbol:							
2 transactions for 05/20/20. Total proceeds and cost reported to the IRS.							
	10.000	100.51	05/06/20	93.48	...	7.03	1 of 2 - Sale ²⁵
	49.000	492.52	05/07/20	464.43	...	28.09	2 of 2 - Sale ²⁵
05/20/20	59.000	593.03	Various	557.91	...	35.12	Total of 2 transactions
07/07/20	1.000	12.13	05/07/20	9.48	...	2.65	Sale ²⁵
	Security total:	605.16		567.39	...	37.77	
AURORA CANNABIS INC. COMMON SH ARES / CUSIP: 05156X108 / Symbol:							
05/06/20	100.000	69.97	04/16/20	66.41	...	3.56	Sale ²⁵
2 transactions for 05/06/20. Total proceeds and cost reported to the IRS.							
	1.000	0.70	03/16/20	0.71	0.01 W	0.00	1 of 2 - Sale ²⁵
	99.000	69.27	05/01/20	69.61	0.34 W	0.00	2 of 2 - Sale ²⁵
05/06/20	100.000	69.97	Various	70.32	0.35 W	0.00	Total of 2 transactions
	Security total:	139.94		136.73	0.35 W	3.56	
AURORA CANNABIS INC. COMMON SH ARES / CUSIP: 05156X884 / Symbol:							
6 transactions for 05/15/20. Total proceeds and cost reported to the IRS.							
	13.617	114.17	05/01/20	114.20	...	-0.03	1 of 6 - Sale ²⁵
	8.383	70.30	05/01/20	70.31	...	-0.01	2 of 6 - Sale ²⁵
	0.084	0.72	05/01/20	0.71	...	0.01	3 of 6 - Sale ²⁵
	3.269	28.12	05/01/20	27.42	...	0.70	4 of 6 - Sale ²⁵
	8.299	71.38	05/01/20	69.95	...	1.43	5 of 6 - Sale ²⁵

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Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

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02/14/2021

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

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

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1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
AURORA CANNABIS INC. COMMON SH ARES / CUSIP: 05156X884 / Symbol: (cont'd)							
	8.347	71.78	05/01/20	70.01	...	1.77	6 of 6 - Sale ²⁵
05/15/20	42.000	356.47	Various	352.60	...	3.87	Total of 6 transactions
11/06/20	24.000	204.72	09/08/20	188.57	...	16.15	Sale ²⁵
	Security total:	561.19		541.17	...	20.02	
AZUL S.A. AMERICAN DEPOSITARY SHARES (EACH REPRESENTING THREE PREFERRED SHARES) / CUSIP: 05501U106 / Symbol:							
2 transactions for 05/07/20. Total proceeds and cost reported to the IRS.							
	1.000	7.21	04/27/20	7.58	0.37 W	0.00	1 of 2 - Sale ²⁵
	69.000	497.50	05/07/20	502.94	0.79 W	-4.65	2 of 2 - Sale ²⁵
05/07/20	70.000	504.71	Various	510.52	1.16 W	-4.65	Total of 2 transactions
2 transactions for 05/19/20. Total proceeds and cost reported to the IRS.							
	1.000	7.48	05/07/20	7.66	...	-0.18	1 of 2 - Sale ²⁵
	10.000	74.81	05/11/20	70.59	...	4.22	2 of 2 - Sale ²⁵
05/19/20	11.000	82.29	Various	78.25	...	4.04	Total of 2 transactions
	Security total:	587.00		588.77	1.16 W	-0.61	
BANK OZK COMMON STOCK / CUSIP: 06417N103 / Symbol:							
04/29/20	1.000	23.08	03/25/20	17.94	...	5.14	Sale ²⁵
BOEING COMPANY / CUSIP: 097023105 / Symbol:							
5 transactions for 06/03/20. Total proceeds and cost reported to the IRS.							
	0.000	0.04	04/03/20	0.03	...	0.01	1 of 5 - Sale ²⁵
	0.039	6.64	04/03/20	4.97	...	1.67	2 of 5 - Sale ²⁵
	1.000	168.35	05/07/20	127.37	...	40.98	3 of 5 - Sale ²⁵
	1.000	168.35	05/18/20	126.25	...	42.10	4 of 5 - Sale ²⁵
	2.960	498.37	05/18/20	379.01	...	119.36	5 of 5 - Sale ²⁵
06/03/20	5.000	841.75	Various	637.63	...	204.12	Total of 5 transactions
3 transactions for 11/09/20. Total proceeds and cost reported to the IRS.							
	0.040	7.12	05/18/20	5.08	...	2.04	1 of 3 - Sale ²⁵
	10.000	1,793.26	07/27/20	1,735.40	...	57.86	2 of 3 - Sale ²⁵
	9.960	1,786.14	07/27/20	1,691.66	...	94.48	3 of 3 - Sale ²⁵
11/09/20	20.000	3,586.52	Various	3,432.14	...	154.38	Total of 3 transactions

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Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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

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

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1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	7- Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
BOEING COMPANY / CUSIP: 097023105 / Symbol: (cont'd)							
3 transactions for 11/10/20. Total proceeds and cost reported to the IRS.							
	0.040	7.37	07/27/20	6.74	...	0.63	1 of 3 - Sale ²⁵
	10.000	1,857.36	07/30/20	1,617.00	...	240.36	2 of 3 - Sale ²⁵
	9.960	1,849.98	07/31/20	1,581.21	...	268.77	3 of 3 - Sale ²⁵
11/10/20	20.000	3,714.71	Various	3,204.95	...	509.76	Total of 3 transactions
3 transactions for 12/02/20. Total proceeds and cost reported to the IRS.							
	0.040	8.93	07/31/20	6.30	...	2.63	1 of 3 - Sale ²⁵
	1.000	225.07	09/23/20	153.00	...	72.07	2 of 3 - Sale ²⁵
	3.960	891.37	09/23/20	598.14	...	293.23	3 of 3 - Sale ²⁵
12/02/20	5.000	1,125.37	Various	757.44	...	367.93	Total of 3 transactions
	Security total:	9,268.35		8,032.16	...	1,236.19	
BOMBARDIER INC. CLASS B SHARES (CANADA) / CUSIP: 097751200 / Symbol:							
3 transactions for 12/15/20. Total proceeds and cost reported to the IRS.							
	363.000	126.61	12/11/20	137.95	...	-11.34	1 of 3 - Sale ²⁵
	136.000	47.59	12/11/20	51.68	...	-4.09	2 of 3 - Sale ²⁵
	137.000	47.78	12/11/20	49.95	...	-2.17	3 of 3 - Sale ²⁵
12/15/20	636.000	221.98	Various	239.58	...	-17.60	Total of 3 transactions
12/15/20	863.000	301.00	12/11/20	314.65	7.91 W	-5.74	Sale ²⁵
	Security total:	522.98		554.23	7.91 W	-23.34	
BOQI INTERNATIONAL MEDICAL INC. COMMON STOCK / CUSIP: 099501108 / Symbol:							
06/26/20	1.000	2.79	06/12/20	2.81	...	-0.02	Sale ²⁵
BRIDGELINE DIGITAL, INC. COMMO N STOCK / CUSIP: 10807Q700 / Symbol:							
6 transactions for 05/14/20. Total proceeds and cost reported to the IRS.							
	15.000	32.25	05/14/19	80.85	...	-48.60	1 of 6 - Sale ²⁵
	30.000	64.49	05/28/19	120.90	...	-56.41	2 of 6 - Sale ²⁵
	20.000	43.00	05/29/19	68.60	...	-25.60	3 of 6 - Sale ²⁵
	30.000	64.49	12/27/19	56.28	...	8.21	4 of 6 - Sale ²⁵
	99.000	212.83	01/16/20	148.31	...	64.52	5 of 6 - Sale ²⁵
	100.000	214.98	01/16/20	149.50	...	65.48	6 of 6 - Sale ²⁵
05/14/20	294.000	632.04	Various	624.44	...	7.60	Total of 6 transactions
07/22/20	1.000	2.05	01/16/20	1.50	...	0.55	Sale ²⁵

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02/14/2021

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

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

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1a- Description of property/CUSIP/Symbol

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BRIDGELINE DIGITAL, INC. COMMO N STOCK / CUSIP: 10807Q700 / Symbol: (cont'd)							
Security total:		634.09		625.94	...	8.15	
CHF SOLUTIONS, INC. COMMON STO CK / CUSIP: 12542Q706 / Symbol:							
<i>11 transactions for 07/09/20. Total proceeds and cost reported to the IRS.</i>							
	100.000	57.48	07/07/20	58.38	...	-0.90	1 of 11 - Sale ²⁵
	100.000	57.48	07/07/20	58.38	...	-0.90	2 of 11 - Sale ²⁵
	100.000	57.49	07/07/20	58.38	...	-0.89	3 of 11 - Sale ²⁵
	100.000	57.49	07/07/20	58.38	...	-0.89	4 of 11 - Sale ²⁵
	100.000	57.49	07/07/20	58.38	...	-0.89	5 of 11 - Sale ²⁵
	100.000	57.49	07/07/20	58.38	...	-0.89	6 of 11 - Sale ²⁵
	100.000	57.49	07/07/20	58.38	...	-0.89	7 of 11 - Sale ²⁵
	100.000	57.49	07/07/20	58.38	...	-0.89	8 of 11 - Sale ²⁵
	100.000	57.49	07/07/20	58.38	...	-0.89	9 of 11 - Sale ²⁵
	50.000	28.74	07/07/20	29.19	...	-0.45	10 of 11 - Sale ²⁵
	50.000	28.74	07/07/20	29.19	...	-0.45	11 of 11 - Sale ²⁵
07/09/20	1,000.000	574.87	Various	583.80	...	-8.93	Total of 11 transactions
CSX CORPORATION COMMON STOCK / CUSIP: 126408103 / Symbol:							
08/13/20	1.000	74.91	01/17/20	75.58	...	-0.67	Sale ²⁵
CARNIVAL CORPORATION / CUSIP: 143658300 / Symbol:							
07/22/20	1.000	15.24	03/13/20	16.08	...	-0.84	Sale ²⁵
CENTRIC BRANDS INC. COMMON STO CK / CUSIP: 15644G104 / Symbol:							
05/27/20	1,000.000	223.88	05/26/20	219.97	...	3.91	Sale ²⁵
06/03/20	10.000	0.80	05/27/20	2.24	...	-1.44	Sale ²⁵
Security total:		224.68		222.21	...	2.47	
CHINA PHARMA HOLDINGS, INC. / CUSIP: 16941T104 / Symbol:							
<i>2 transactions for 01/15/20. Total proceeds and cost reported to the IRS.</i>							
	100.000	31.30	04/04/19	45.47	...	-14.17	1 of 2 - Sale ²⁵
	49.000	15.34	11/26/19	12.01	...	3.33	2 of 2 - Sale ²⁵
01/15/20	149.000	46.64	Various	57.48	...	-10.84	Total of 2 transactions
07/22/20	1.000	0.57	11/26/19	0.25	...	0.32	Sale ²⁵
Security total:		47.21		57.73	...	-10.52	

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Robinhood Securities LLC

Account 124792714

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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COTY INC / CUSIP: 222070203 / Symbol:							
2 transactions for 05/28/20. Total proceeds and cost reported to the IRS.							
	50.000	217.99	05/26/20	208.41	...	9.58	1 of 2 - Sale ²⁵
	99.000	431.62	05/26/20	413.82	...	17.80	2 of 2 - Sale ²⁵
05/28/20	149.000	649.61	Various	622.23	...	27.38	Total of 2 transactions
2 transactions for 06/03/20. Total proceeds and cost reported to the IRS.							
	1.000	4.46	05/26/20	4.18	...	0.28	1 of 2 - Sale ²⁵
	99.000	441.54	05/29/20	375.04	...	66.50	2 of 2 - Sale ²⁵
06/03/20	100.000	446.00	Various	379.22	...	66.78	Total of 2 transactions
06/26/20	1.000	4.23	05/29/20	3.79	...	0.44	Sale ²⁵
2 transactions for 08/10/20. Total proceeds and cost reported to the IRS.							
	100.000	414.20	07/31/20	371.76	...	42.44	1 of 2 - Sale ²⁵
	130.000	538.45	07/31/20	483.52	...	54.93	2 of 2 - Sale ²⁵
08/10/20	230.000	952.65	Various	855.28	...	97.37	Total of 2 transactions
4 transactions for 11/06/20. Total proceeds and cost reported to the IRS.							
	27.000	103.94	08/21/20	101.52	...	2.42	1 of 4 - Sale ²⁵
	73.000	281.04	08/21/20	274.48	...	6.56	2 of 4 - Sale ²⁵
	10.000	38.50	08/27/20	34.80	...	3.70	3 of 4 - Sale ²⁵
	90.000	346.48	08/27/20	314.85	...	31.63	4 of 4 - Sale ²⁵
11/06/20	200.000	769.96	Various	725.65	...	44.31	Total of 4 transactions
	Security total:	2,822.45		2,586.17	...	236.28	
DELTA AIR LINES, INC. / CUSIP: 247361702 / Symbol:							
2 transactions for 06/17/20. Total proceeds and cost reported to the IRS.							
	1.000	31.00	05/07/20	22.16	...	8.84	1 of 2 - Sale ²⁵
	29.000	898.97	05/20/20	657.97	...	241.00	2 of 2 - Sale ²⁵
06/17/20	30.000	929.97	Various	680.13	...	249.84	Total of 2 transactions
09/08/20	10.000	325.80	05/20/20	226.88	...	98.92	Sale ²⁵
3 transactions for 11/06/20. Total proceeds and cost reported to the IRS.							
	1.000	31.79	05/20/20	22.69	...	9.10	1 of 3 - Sale ²⁵
	5.000	158.95	06/26/20	133.63	...	25.32	2 of 3 - Sale ²⁵
	19.000	603.99	06/26/20	507.79	...	96.20	3 of 3 - Sale ²⁵
11/06/20	25.000	794.73	Various	664.11	...	130.62	Total of 3 transactions

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Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

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DELTA AIR LINES, INC. / CUSIP: 247361702 / Symbol: (cont'd)							
Security total:		2,050.50		1,571.12	...		479.38
EMBRAER S.A. / CUSIP: 29082A107 / Symbol:							
05/27/20	100.000	534.10	05/05/20	539.88	...		-5.78 Sale ²⁵
FEDEX CORPORATION / CUSIP: 31428X106 / Symbol:							
10 transactions for 06/30/20. Total proceeds and cost reported to the IRS.							
	3.000	445.34	01/15/20	479.37	...		-34.03 1 of 10 - Sale ²⁵
	3.000	445.34	01/16/20	481.77	...		-36.43 2 of 10 - Sale ²⁵
	1.000	148.45	01/16/20	160.59	...		-12.14 3 of 10 - Sale ²⁵
	1.000	148.45	01/27/20	148.38	...		0.07 4 of 10 - Sale ²⁵
	2.000	296.89	01/27/20	295.16	...		1.73 5 of 10 - Sale ²⁵
	10.000	1,484.46	01/28/20	1,486.49	...		-2.03 6 of 10 - Sale ²⁵
	2.000	296.89	01/30/20	293.60	...		3.29 7 of 10 - Sale ²⁵
	2.000	296.89	02/27/20	284.02	...		12.87 8 of 10 - Sale ²⁵
	3.000	445.34	03/09/20	358.05	...		87.29 9 of 10 - Sale ²⁵
	2.000	296.90	05/15/20	217.54	...		79.36 10 of 10 - Sale ²⁵
06/30/20	29.000	4,304.95	Various	4,204.97	...		99.98 Total of 10 transactions
FORD MOTOR COMPANY / CUSIP: 345370860 / Symbol:							
2 transactions for 06/15/20. Total proceeds and cost reported to the IRS.							
	1.000	6.55	03/23/20	4.25	...		2.30 1 of 2 - Sale ²⁵
	49.000	321.09	04/22/20	234.08	...		87.01 2 of 2 - Sale ²⁵
06/15/20	50.000	327.64	Various	238.33	...		89.31 Total of 2 transactions
10/21/20	50.000	391.64	04/22/20	238.86	...		152.78 Sale ²⁵
Security total:		719.28		477.19	...		242.09
THE GABELLI UTILITY & INCOME T RUST / CUSIP: 36242L105 / Symbol:							
07/07/20	2.000	31.86	01/16/20	39.07	...		-7.21 Sale ²⁵

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GENERAL ELECTRIC COMPANY / CUSIP: 369604103 / Symbol:							
2 transactions for 06/03/20. Total proceeds and cost reported to the IRS.							
	10.000	72.30	05/04/20	62.40	...	9.90	1 of 2 - Sale ²⁵
	49.000	354.26	05/04/20	305.02	...	49.24	2 of 2 - Sale ²⁵
06/03/20	59.000	426.56	Various	367.42	...	59.14	Total of 2 transactions
GLU MOBILE INC. COMMON STOCK / CUSIP: 379890106 / Symbol:							
04/20/20	9.000	70.65	01/16/20	55.78	...	14.87	Sale ²⁵
GOPRO, INC. CLASS A COMMON STO CK / CUSIP: 38268T103 / Symbol:							
07/07/20	1.000	4.90	01/16/20	4.40	...	0.50	Sale ²⁵
GREENSKY, INC. CLASS A COMMON STOCK / CUSIP: 39572G100 / Symbol:							
07/07/20	1.000	4.75	03/26/20	4.13	...	0.62	Sale ²⁵
HP INC. / CUSIP: 40434L105 / Symbol:							
06/02/20	99.000	1,534.63	05/28/20	1,490.94	...	43.69	Sale ²⁵
06/03/20	1.000	16.72	05/28/20	15.06	...	1.66	Sale ²⁵
	Security total:	1,551.35		1,506.00	...	45.35	
HERTZ GLOBAL HOLDINGS, INC. CO MMON STOCK / CUSIP: 42806J106 / Symbol:							
2 transactions for 05/26/20. Total proceeds and cost reported to the IRS.							
	90.000	36.89	05/22/20	220.50	...	-183.61	1 of 2 - Sale ²⁵
	10.000	4.10	05/22/20	46.50	...	-42.40	2 of 2 - Sale ²⁵
05/26/20	100.000	40.99	Various	267.00	...	-226.01	Total of 2 transactions
05/26/20	10.000	4.10	05/22/20	26.10	22.00 W	0.00	Sale ²⁵
	Security total:	45.09		293.10	22.00 W	-226.01	
HEXO CORP. / CUSIP: 428304109 / Symbol:							
3 transactions for 12/15/20. Total proceeds and cost reported to the IRS.							
	50.000	53.51	12/11/20	50.44	...	3.07	1 of 3 - Sale ²⁵
	100.000	107.00	12/11/20	101.00	...	6.00	2 of 3 - Sale ²⁵
	149.000	159.42	12/11/20	150.33	...	9.09	3 of 3 - Sale ²⁵
12/15/20	299.000	319.93	Various	301.77	...	18.16	Total of 3 transactions

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Proceeds from Broker and Barter Exchange Transactions

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(continued)

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

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INDIA GLOBALIZATION CAPITAL, I NC. / CUSIP: 45408X308 / Symbol:							
3 transactions for 04/27/20. Total proceeds and cost reported to the IRS.							
	49.000	29.39	01/16/20	36.65	...	-7.26	1 of 3 - Sale ²⁵
	90.000	53.99	01/27/20	57.60	...	-3.61	2 of 3 - Sale ²⁵
	100.000	59.99	02/28/20	43.00	...	16.99	3 of 3 - Sale ²⁵
04/27/20	239.000	143.37	Various	137.25	...	6.12	Total of 3 transactions
04/27/20	1.000	0.60	01/16/20	0.71	0.11 W	0.00	Sale ²⁵
06/15/20	1.000	0.56	04/27/20	0.71	...	-0.15	Sale ²⁵
	Security total:	144.53		138.67	0.11 W	5.97	
INVESCO MORTGAGE CAPITAL INC. / CUSIP: 46131B100 / Symbol:							
3 transactions for 03/26/20. Total proceeds and cost reported to the IRS.							
	1.000	4.08	03/25/20	2.88	...	1.20	1 of 3 - Sale ²⁵
	39.000	159.12	03/25/20	98.67	...	60.45	2 of 3 - Sale ²⁵
	61.000	261.08	03/25/20	154.33	...	106.75	3 of 3 - Sale ²⁵
03/26/20	101.000	424.28	Various	255.88	...	168.40	Total of 3 transactions
3 transactions for 04/07/20. Total proceeds and cost reported to the IRS.							
	100.000	300.98	04/02/20	255.76	...	45.22	1 of 3 - Sale ²⁵
	50.000	150.49	04/03/20	108.38	...	42.11	2 of 3 - Sale ²⁵
	49.000	147.48	04/03/20	91.51	...	55.97	3 of 3 - Sale ²⁵
04/07/20	199.000	598.95	Various	455.65	...	143.30	Total of 3 transactions
3 transactions for 04/29/20. Total proceeds and cost reported to the IRS.							
	1.000	3.52	04/03/20	1.87	...	1.65	1 of 3 - Sale ²⁵
	50.000	175.99	04/22/20	135.88	...	40.11	2 of 3 - Sale ²⁵
	29.000	102.08	04/24/20	75.04	...	27.04	3 of 3 - Sale ²⁵
04/29/20	80.000	281.59	Various	212.79	...	68.80	Total of 3 transactions
2 transactions for 05/19/20. Total proceeds and cost reported to the IRS.							
	1.000	3.15	04/24/20	2.59	...	0.56	1 of 2 - Sale ²⁵
	50.000	157.64	05/13/20	125.00	...	32.64	2 of 2 - Sale ²⁵
05/19/20	51.000	160.79	Various	127.59	...	33.20	Total of 2 transactions
2 transactions for 07/16/20. Total proceeds and cost reported to the IRS.							
	1.000	3.48	05/19/20	2.86	...	0.62	1 of 2 - Sale ²⁵
	49.000	170.64	07/07/20	153.26	...	17.38	2 of 2 - Sale ²⁵
07/16/20	50.000	174.12	Various	156.12	...	18.00	Total of 2 transactions

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INVESCO MORTGAGE CAPITAL INC. / CUSIP: 46131B100 / Symbol: (cont'd)							
Security total:		1,639.73		1,208.03	...		431.70
KEZAR LIFE SCIENCES, INC. COMM ON STOCK / CUSIP: 49372L100 / Symbol:							
3 transactions for 02/10/20. Total proceeds and cost reported to the IRS.							
	1.000	4.18	11/18/19	2.45	...	1.73	1 of 3 - Sale ²⁵
	2.000	8.36	11/27/19	5.28	...	3.08	2 of 3 - Sale ²⁵
	39.000	163.11	01/30/20	97.50	...	65.61	3 of 3 - Sale ²⁵
02/10/20	42.000	175.65	Various	105.23	...	70.42	Total of 3 transactions
2 transactions for 03/20/20. Total proceeds and cost reported to the IRS.							
	1.000	4.19	01/30/20	2.50	...	1.69	1 of 2 - Sale ²⁵
	74.000	310.05	03/18/20	190.92	...	119.13	2 of 2 - Sale ²⁵
03/20/20	75.000	314.24	Various	193.42	...	120.82	Total of 2 transactions
Security total:		489.89		298.65	...		191.24
KOHL'S CORPORATION / CUSIP: 500255104 / Symbol:							
2 transactions for 10/21/20. Total proceeds and cost reported to the IRS.							
	25.000	550.98	08/18/20	496.22	...	54.76	1 of 2 - Sale ²⁵
	35.000	771.38	08/18/20	682.15	...	89.23	2 of 2 - Sale ²⁵
10/21/20	60.000	1,322.36	Various	1,178.37	...	143.99	Total of 2 transactions
L BRANDS, INC. / CUSIP: 501797104 / Symbol:							
07/07/20	1.000	15.40	04/27/20	10.50	...	4.90	Sale ²⁵
LENDINGCLUB CORPORATION / CUSIP: 52603A208 / Symbol:							
2 transactions for 07/16/20. Total proceeds and cost reported to the IRS.							
	50.000	283.32	06/15/20	268.50	...	14.82	1 of 2 - Sale ²⁵
	50.000	283.32	06/18/20	252.50	...	30.82	2 of 2 - Sale ²⁵
07/16/20	100.000	566.64	Various	521.00	...	45.64	Total of 2 transactions
09/22/20	50.000	248.01	08/26/20	254.50	...	-6.49	Sale ²⁵
Security total:		814.65		775.50	...		39.15

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LYFT, INC. CLASS A COMMON STOC K / CUSIP: 55087P104 / Symbol:							
04/24/20	5.000	156.26	03/10/20	155.54	...	0.72	Sale ²⁵
04/24/20	1.000	31.25	12/26/19	45.26	2.36 W	-11.65	Sale ²⁵
	Security total:	187.51		200.80	2.36 W	-10.93	
MGM RESORTS INTERNATIONAL / CUSIP: 552953101 / Symbol:							
3 transactions for 06/15/20. Total proceeds and cost reported to the IRS.							
	0.000	0.00	05/07/20	0.00	...	0.00	1 of 3 - Zero proceeds / negative sale ²⁵
	0.016	0.30	05/07/20	0.24	...	0.06	2 of 3 - Sale ²⁵
	0.325	6.00	05/07/20	4.76	...	1.24	3 of 3 - Sale ²⁵
06/15/20	0.341	6.30	Various	5.00	...	1.30	Total of 3 transactions
MICROSOFT CORPORATION COMMON S TOCK / CUSIP: 594918104 / Symbol:							
03/26/20	1.000	153.12	01/06/20	157.45	...	-4.33	Sale ²⁵
03/26/20	1.000	153.12	12/27/19	158.58	5.46 W	0.00	Sale ²⁵
6 transactions for 03/30/20. Total proceeds and cost reported to the IRS.							
	1.000	156.91	01/06/20	157.45	...	-0.54	1 of 6 - Sale ²⁵
	1.000	156.91	01/15/20	163.79	...	-6.88	2 of 6 - Sale ²⁵
	2.000	313.81	01/27/20	321.04	...	-7.23	3 of 6 - Sale ²⁵
	1.000	156.91	01/28/20	164.56	...	-7.65	4 of 6 - Sale ²⁵
	1.000	156.91	01/30/20	174.61	...	-17.70	5 of 6 - Sale ²⁵
	1.000	156.91	03/12/20	150.67	...	6.24	6 of 6 - Sale ²⁵
03/30/20	7.000	1,098.36	Various	1,132.12	...	-33.76	Total of 6 transactions
	Security total:	1,404.60		1,448.15	5.46 W	-38.09	
NIO INC. AMERICAN DEPOSITARY S HARES, EACH REPRESENTING ONE C LASS A ORDINARY SHARE / CUSIP: 62914V106 / Symbol:							
12 transactions for 01/15/20. Total proceeds and cost reported to the IRS.							
	56.000	241.35	03/11/19	386.40	...	-145.05	1 of 12 - Sale ²⁵
	50.000	215.49	03/12/19	323.28	...	-107.79	2 of 12 - Sale ²⁵
	15.000	64.65	03/14/19	90.30	...	-25.65	3 of 12 - Sale ²⁵
	41.000	176.71	03/18/19	232.06	...	-55.35	4 of 12 - Sale ²⁵
	29.000	124.98	03/18/19	164.14	...	-39.16	5 of 12 - Sale ²⁵
	29.000	124.99	04/10/19	146.16	...	-21.17	6 of 12 - Sale ²⁵
	30.000	129.30	05/08/19	138.30	...	-9.00	7 of 12 - Sale ²⁵

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Robinhood Securities LLC

Account 124792714

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 DEPOSITARY S HARES, EACH REPRESENTING ONE CLASS A ORDINARY SHARE / CUSIP: 62914V106 / Symbol: (cont'd)							
	20.000	86.00	05/29/19	72.80	...	13.20	8 of 12 - Sale ²⁵
	10.000	43.00	08/14/19	29.40	...	13.60	9 of 12 - Sale ²⁵
	20.000	87.80	08/14/19	58.80	...	29.00	10 of 12 - Sale ²⁵
	40.000	175.60	08/14/19	117.60	...	58.00	11 of 12 - Sale ²⁵
	40.000	175.60	10/01/19	50.00	...	125.60	12 of 12 - Sale ²⁵
01/15/20	380.000	1,645.47	Various	1,809.24	...	-163.77	Total of 12 transactions
	2 transactions for 01/16/20. Total proceeds and cost reported to the IRS.						
	60.000	260.40	10/01/19	75.00	...	185.40	1 of 2 - Sale ²⁵
	39.000	169.26	10/25/19	60.06	...	109.20	2 of 2 - Sale ²⁵
01/16/20	99.000	429.66	Various	135.06	...	294.60	Total of 2 transactions
	Security total:	2,075.13		1,944.30	...	130.83	
NIKOLA CORPORATION COMMON STOCK / CUSIP: 654110105 / Symbol:							
	3 transactions for 06/16/20. Total proceeds and cost reported to the IRS.						
	5.000	337.35	06/10/20	344.52	...	-7.17	1 of 3 - Sale ²⁵
	2.000	146.30	06/10/20	137.81	...	8.49	2 of 3 - Sale ²⁵
	13.000	950.92	06/10/20	895.77	...	55.15	3 of 3 - Sale ²⁵
06/16/20	20.000	1,434.57	Various	1,378.10	...	56.47	Total of 3 transactions
OCEAN POWER TECHNOLOGIES, INC. COMMON STOCK / CUSIP: 674870506 / Symbol:							
06/16/20	70.000	39.69	01/31/20	58.96	...	-19.27	Sale ²⁵
	2 transactions for 06/17/20. Total proceeds and cost reported to the IRS.						
	30.000	25.93	01/31/20	25.27	...	0.66	1 of 2 - Sale ²⁵
	20.000	17.28	02/07/20	16.00	...	1.28	2 of 2 - Sale ²⁵
06/17/20	50.000	43.21	Various	41.27	...	1.94	Total of 2 transactions
06/19/20	100.000	81.00	02/07/20	80.00	...	1.00	Sale ²⁵
07/30/20	79.000	66.20	02/07/20	63.20	...	3.00	Sale ²⁵
	Security total:	230.10		243.43	...	-13.33	
PG&E CORPORATION / CUSIP: 69331C108 / Symbol:							
05/04/20	5.000	51.86	03/18/20	37.95	...	13.91	Sale ²⁵
11/06/20	22.000	220.22	08/26/20	194.92	...	25.30	Sale ²⁵
	Security total:	272.08		232.87	...	39.21	

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Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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SEELOS THERAPEUTICS, INC. COMM ON STOCK / CUSIP: 81577F109 / Symbol:							
05/19/20	50.000	45.25	07/17/19	100.91	...	-55.66	Sale ²⁵
05/21/20	100.000	112.00	02/07/20	95.00	...	17.00	Sale ²⁵
	Security total:	157.25		195.91	...	-38.66	
SMITH & NEPHEW PLC / CUSIP: 83175M205 / Symbol:							
	3 transactions for 05/06/20. Total proceeds and cost reported to the IRS.						
	1.000	41.10	06/10/19	42.98	1.88 W	0.00	1 of 3 - Sale ²⁵
	5.000	205.50	01/16/20	245.40	39.90 W	0.00	2 of 3 - Sale ²⁵
	4.000	164.40	01/27/20	197.58	33.18 W	0.00	3 of 3 - Sale ²⁵
05/06/20	10.000	411.00	Various	485.96	74.96 W	0.00	Total of 3 transactions
	2 transactions for 05/07/20. Total proceeds and cost reported to the IRS.						
	6.000	244.50	01/27/20	296.37	51.87 W	0.00	1 of 2 - Sale ²⁵
	4.000	163.00	01/27/20	197.50	34.50 W	0.00	2 of 2 - Sale ²⁵
05/07/20	10.000	407.50	Various	493.87	86.37 W	0.00	Total of 2 transactions
	13 transactions for 06/03/20. Total proceeds and cost reported to the IRS.						
	10.000	430.41	01/31/20	481.48	...	-51.07	1 of 13 - Sale ²⁵
	5.000	215.21	03/11/20	196.19	...	19.02	2 of 13 - Sale ²⁵
	1.000	43.04	03/12/20	34.09	...	8.95	3 of 13 - Sale ²⁵
	9.000	387.37	03/12/20	307.31	...	80.06	4 of 13 - Sale ²⁵
	5.000	215.21	03/16/20	142.45	...	72.76	5 of 13 - Sale ²⁵
	5.000	215.20	03/17/20	143.25	...	71.95	6 of 13 - Sale ²⁵
	6.000	258.25	05/04/20	282.14	...	-23.89	7 of 13 - Sale ²⁵
	5.000	215.21	05/04/20	231.78	...	-16.57	8 of 13 - Sale ²⁵
	4.000	172.16	05/04/20	188.02	...	-15.86	9 of 13 - Sale ²⁵
	4.000	172.16	05/04/20	186.68	...	-14.52	10 of 13 - Sale ²⁵
	1.000	43.04	05/04/20	40.26	...	2.78	11 of 13 - Sale ²⁵
	9.000	387.37	05/04/20	345.59	...	41.78	12 of 13 - Sale ²⁵
	10.000	430.41	05/04/20	383.79	...	46.62	13 of 13 - Sale ²⁵
06/03/20	74.000	3,185.04	Various	2,963.03	...	222.01	Total of 13 transactions
	2 transactions for 06/03/20. Total proceeds and cost reported to the IRS.						
	16.000	688.66	01/27/20	790.00	101.34 W	0.00	1 of 2 - Sale ²⁵
	10.000	430.41	01/28/20	493.70	63.29 W	0.00	2 of 2 - Sale ²⁵
06/03/20	26.000	1,119.07	Various	1,283.70	164.63 W	0.00	Total of 2 transactions

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Account 124792714

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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SMITH & NEPHEW PLC / CUSIP: 83175M205 / Symbol: (cont'd)							
Security total:		5,122.61		5,226.56		325.96 W	222.01
SOUTHWEST AIRLINES CO. / CUSIP: 844741108 / Symbol:							
2 transactions for 05/19/20. Total proceeds and cost reported to the IRS.							
	10.000	283.00	05/06/20	263.17	...	19.83	1 of 2 - Sale ²⁵
	10.000	283.01	05/07/20	255.19	...	27.82	2 of 2 - Sale ²⁵
05/19/20	20.000	566.01	Various	518.36	...	47.65	Total of 2 transactions
2 transactions for 05/22/20. Total proceeds and cost reported to the IRS.							
	1.000	28.67	05/12/20	25.11	...	3.56	1 of 2 - Sale ²⁵
	9.000	258.07	05/20/20	261.54	...	-3.47	2 of 2 - Sale ²⁵
05/22/20	10.000	286.74	Various	286.65	...	0.09	Total of 2 transactions
3 transactions for 10/13/20. Total proceeds and cost reported to the IRS.							
	1.000	39.34	05/20/20	29.06	...	10.28	1 of 3 - Sale ²⁵
	10.000	393.39	06/26/20	313.17	...	80.22	2 of 3 - Sale ²⁵
	19.000	747.44	07/07/20	633.76	...	113.68	3 of 3 - Sale ²⁵
10/13/20	30.000	1,180.17	Various	975.99	...	204.18	Total of 3 transactions
2 transactions for 10/23/20. Total proceeds and cost reported to the IRS.							
	1.000	42.75	07/07/20	33.36	...	9.39	1 of 2 - Sale ²⁵
	9.000	384.75	07/24/20	293.40	...	91.35	2 of 2 - Sale ²⁵
10/23/20	10.000	427.50	Various	326.76	...	100.74	Total of 2 transactions
11/06/20	15.000	608.98	07/24/20	489.00	...	119.98	Sale ²⁵
Security total:		3,069.40		2,596.76	...	472.64	
SPIRIT AIRLINES, INC. / CUSIP: 848577102 / Symbol:							
2 transactions for 06/17/20. Total proceeds and cost reported to the IRS.							
	1.000	20.03	05/06/20	12.07	...	7.96	1 of 2 - Sale ²⁵
	19.000	380.62	05/07/20	191.49	...	189.13	2 of 2 - Sale ²⁵
06/17/20	20.000	400.65	Various	203.56	...	197.09	Total of 2 transactions
2 transactions for 11/09/20. Total proceeds and cost reported to the IRS.							
	1.000	21.01	05/07/20	10.08	...	10.93	1 of 2 - Sale ²⁵
	9.000	189.09	06/26/20	146.05	...	43.04	2 of 2 - Sale ²⁵
11/09/20	10.000	210.10	Various	156.13	...	53.97	Total of 2 transactions

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SPIRIT AIRLINES, INC. / CUSIP: 848577102 / Symbol: (cont'd)							
Security total:		610.75		359.69	...		251.06
SQUARE, INC. / CUSIP: 852234103 / Symbol:							
05/07/20	1.000	72.96	03/30/20	55.04	...		17.92 Sale ²⁵
SUMMIT WIRELESS TECHNOLOGIES, INC. COMMON STOCK / CUSIP: 86633R203 / Symbol:							
3 transactions for 08/27/20. Total proceeds and cost reported to the IRS.							
	20.000	42.80	08/24/20	44.66	...		-1.86 1 of 3 - Sale ²⁵
	50.000	106.99	08/24/20	106.25	...		0.74 2 of 3 - Sale ²⁵
	80.000	171.19	08/24/20	170.00	...		1.19 3 of 3 - Sale ²⁵
08/27/20	150.000	320.98	Various	320.91	...		0.07 Total of 3 transactions
08/27/20	20.000	42.80	08/21/20	44.96	2.16 W		0.00 Sale ²⁵
Security total:		363.78		365.87	2.16 W		0.07
TREVENA, INC. COMMON STOCK / CUSIP: 89532E109 / Symbol:							
08/19/20	168.000	333.46	08/10/20	508.20	...		-174.74 Sale ²⁵
08/19/20	30.000	59.55	08/10/20	97.05	2.50 W		-35.00 Sale ²⁵
Security total:		393.01		605.25	2.50 W		-209.74
T2 BIOSYSTEMS, INC. COMMON STOCK / CUSIP: 89853L104 / Symbol:							
06/10/20	200.000	344.98	06/03/20	252.00	...		92.98 Sale ²⁵
06/11/20	49.000	71.05	06/03/20	61.74	...		9.31 Sale ²⁵
06/15/20	1.000	1.54	06/03/20	1.26	...		0.28 Sale ²⁵
Security total:		417.57		315.00	...		102.57
TWO HARBORS INVESTMENT CORP. / CUSIP: 90187B408 / Symbol:							
5 transactions for 06/16/20. Total proceeds and cost reported to the IRS.							
	1.000	5.54	06/02/20	4.87	...		0.67 1 of 5 - Sale ²⁵
	10.000	55.40	06/02/20	48.70	...		6.70 2 of 5 - Sale ²⁵
	65.000	360.09	06/02/20	316.42	...		43.67 3 of 5 - Sale ²⁵
	80.000	443.19	06/02/20	389.44	...		53.75 4 of 5 - Sale ²⁵
	104.000	576.13	06/02/20	506.27	...		69.86 5 of 5 - Sale ²⁵
06/16/20	260.000	1,440.35	Various	1,265.70	...		174.65 Total of 5 transactions
06/26/20	1.000	5.05	06/02/20	4.87	...		0.18 Sale ²⁵

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TWO HARBORS INVESTMENT CORP. / CUSIP: 90187B408 / Symbol: (cont'd)							
Security total:		1,445.40		1,270.57	...	174.83	
UBER TECHNOLOGIES, INC. / CUSIP: 90353T100 / Symbol:							
2 transactions for 03/25/20. Total proceeds and cost reported to the IRS.							
	1.000	26.75	11/06/19	26.14	...	0.61	1 of 2 - Sale ²⁵
	10.000	267.50	03/11/20	259.90	...	7.60	2 of 2 - Sale ²⁵
03/25/20	11.000	294.25	Various	286.04	...	8.21	Total of 2 transactions
UNDER ARMOUR, INC. CLASS C COM MON STOCK, \$0.0003 1/3 PAR VAL UE / CUSIP: 904311206 / Symbol:							
2 transactions for 07/22/20. Total proceeds and cost reported to the IRS.							
	10.000	95.20	04/03/20	66.99	...	28.21	1 of 2 - Sale ²⁵
	49.000	466.51	06/16/20	447.79	...	18.72	2 of 2 - Sale ²⁵
07/22/20	59.000	561.71	Various	514.78	...	46.93	Total of 2 transactions
UNITED AIRLINES HOLDINGS, INC. COMMON STOCK / CUSIP: 910047109 / Symbol:							
4 transactions for 05/26/20. Total proceeds and cost reported to the IRS.							
	0.050	1.37	05/06/20	1.20	...	0.17	1 of 4 - Sale ²⁵
	0.782	21.46	05/06/20	18.80	...	2.66	2 of 4 - Sale ²⁵
	20.000	548.79	05/06/20	472.40	...	76.39	3 of 4 - Sale ²⁵
	19.168	525.95	05/07/20	449.06	...	76.89	4 of 4 - Sale ²⁵
05/26/20	40.000	1,097.57	Various	941.46	...	156.11	Total of 4 transactions
4 transactions for 11/09/20. Total proceeds and cost reported to the IRS.							
	0.832	35.06	05/07/20	19.49	...	15.57	1 of 4 - Sale ²⁵
	17.168	723.44	07/24/20	564.65	...	158.79	2 of 4 - Sale ²⁵
	20.000	862.98	07/24/20	657.80	...	205.18	3 of 4 - Sale ²⁵
	32.000	1,348.45	07/24/20	1,052.48	...	295.97	4 of 4 - Sale ²⁵
11/09/20	70.000	2,969.93	Various	2,294.42	...	675.51	Total of 4 transactions
Security total:		4,067.50		3,235.88	...	831.62	
VALE S.A. / CUSIP: 91912E105 / Symbol:							
07/07/20	1.000	10.57	03/13/20	8.77	...	1.80	Sale ²⁵
WASHINGTON PRIME GROUP INC. / CUSIP: 93964W108 / Symbol:							
06/26/20	1.000	0.85	06/01/20	0.66	...	0.19	Sale ²⁵

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WHITING PETROLEUM CORPORATION / CUSIP: 966387409 / Symbol:							
11 transactions for 04/03/20. Total proceeds and cost reported to the IRS.							
	1.000	0.52	04/02/20	17.04	...	-16.52	1 of 11 - Sale ²⁵
	2.000	1.04	04/02/20	11.64	...	-10.60	2 of 11 - Sale ²⁵
	10.000	5.20	04/02/20	10.30	...	-5.10	3 of 11 - Sale ²⁵
	10.000	5.20	04/02/20	10.20	...	-5.00	4 of 11 - Sale ²⁵
	30.000	15.60	04/02/20	12.60	...	3.00	5 of 11 - Sale ²⁵
	30.000	15.60	04/02/20	12.60	...	3.00	6 of 11 - Sale ²⁵
	47.000	24.43	04/02/20	19.74	...	4.69	7 of 11 - Sale ²⁵
	50.000	25.99	04/02/20	21.00	...	4.99	8 of 11 - Sale ²⁵
	50.000	25.99	04/02/20	20.75	...	5.24	9 of 11 - Sale ²⁵
	50.000	25.99	04/02/20	20.75	...	5.24	10 of 11 - Sale ²⁵
	100.000	51.99	04/02/20	29.45	...	22.54	11 of 11 - Sale ²⁵
04/03/20	380.000	197.55	Various	186.07	...	11.48	Total of 11 transactions
4 transactions for 04/03/20. Total proceeds and cost reported to the IRS.							
	1.000	0.52	07/03/19	17.14	16.62 W	0.00	1 of 4 - Sale ²⁵
	2.000	1.04	01/16/20	11.84	10.80 W	0.00	2 of 4 - Sale ²⁵
	10.000	5.20	03/26/20	11.30	6.10 W	0.00	3 of 4 - Sale ²⁵
	10.000	5.20	03/26/20	11.20	6.00 W	0.00	4 of 4 - Sale ²⁵
04/03/20	23.000	11.96	Various	51.48	39.52 W	0.00	Total of 4 transactions
	Security total:	209.51		237.55	39.52 W	11.48	
WORLD WRESTLING ENTERTAINMENT / CUSIP: 98156Q108 / Symbol:							
6 transactions for 04/24/20. Total proceeds and cost reported to the IRS.							
	6.000	268.49	02/03/20	274.74	...	-6.25	1 of 6 - Sale ²⁵
	4.000	179.00	02/03/20	183.20	...	-4.20	2 of 6 - Sale ²⁵
	1.000	45.85	02/03/20	45.80	...	0.05	3 of 6 - Sale ²⁵
	3.000	137.55	02/03/20	137.40	...	0.15	4 of 6 - Sale ²⁵
	5.000	229.25	02/03/20	229.00	...	0.25	5 of 6 - Sale ²⁵
	10.000	447.49	02/06/20	398.50	...	48.99	6 of 6 - Sale ²⁵
04/24/20	29.000	1,307.63	Various	1,268.64	...	38.99	Total of 6 transactions
04/24/20	1.000	45.85	02/03/20	48.96	0.35 W	-2.76	Sale ²⁵
	Security total:	1,353.48		1,317.60	0.35 W	36.23	

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Robinhood Securities LLC

Account 124792714

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
AMIRA NATURE FOODS LTD ORDINAR Y SHARES / CUSIP: G0335L201 / Symbol:							
6 transactions for 01/16/20. Total proceeds and cost reported to the IRS.							
	10.000	81.16	12/26/19	82.30	...	-1.14	1 of 6 - Sale ²⁵
	5.000	40.58	12/26/19	41.25	...	-0.67	2 of 6 - Sale ²⁵
	5.000	40.58	12/26/19	41.18	...	-0.60	3 of 6 - Sale ²⁵
	10.000	81.15	12/27/19	68.40	...	12.75	4 of 6 - Sale ²⁵
	4.000	32.46	12/30/19	26.20	...	6.26	5 of 6 - Sale ²⁵
	5.000	40.58	12/30/19	32.75	...	7.83	6 of 6 - Sale ²⁵
01/16/20	39.000	316.51	Various	292.08	...	24.43	Total of 6 transactions
01/16/20	5.000	40.58	07/17/19	72.89	6.46 W	-25.85	Sale ²⁵
	Security total:	357.09		364.97	6.46 W	-1.42	
REEBONZ HOLDING LIMITED ORDINA RY SHARES / CUSIP: G7457R122 / Symbol:							
5 transactions for 01/15/20. Total proceeds and cost reported to the IRS.							
	50.000	97.49	10/01/19	53.17	...	44.32	1 of 5 - Sale ²⁵
	70.000	136.49	10/01/19	75.33	...	61.16	2 of 5 - Sale ²⁵
	100.000	194.98	11/06/19	118.86	...	76.12	3 of 5 - Sale ²⁵
	100.000	194.98	11/13/19	109.00	...	85.98	4 of 5 - Sale ²⁵
	50.000	97.49	12/27/19	53.89	...	43.60	5 of 5 - Sale ²⁵
01/15/20	370.000	721.43	Various	410.25	...	311.18	Total of 5 transactions
7 transactions for 01/15/20. Total proceeds and cost reported to the IRS.							
	1.000	1.95	04/23/19	5.65	3.70 W	0.00	1 of 7 - Sale ²⁵
	4.000	7.80	04/26/19	29.42	21.62 W	0.00	2 of 7 - Sale ²⁵
	10.000	19.50	05/06/19	74.18	54.68 W	0.00	3 of 7 - Sale ²⁵
	10.000	19.50	05/06/19	74.28	54.78 W	0.00	4 of 7 - Sale ²⁵
	20.000	39.00	05/24/19	99.40	60.40 W	0.00	5 of 7 - Sale ²⁵
	1.000	1.95	05/28/19	4.85	2.90 W	0.00	6 of 7 - Sale ²⁵
	9.000	17.55	05/28/19	43.65	26.10 W	0.00	7 of 7 - Sale ²⁵
01/15/20	55.000	107.25	Various	331.43	224.18 W	0.00	Total of 7 transactions
	Security total:	828.68		741.68	224.18 W	311.18	

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Robinhood Securities LLC

Account 124792714

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
MIND C.T.I. LTD. ORDINARY SHAR ES / CUSIP: M70240102 / Symbol:							
4 transactions for 06/05/20. Total proceeds and cost reported to the IRS.							
	1.000	1.85	12/30/19	2.43	...	-0.58	1 of 4 - Sale ²⁵
	28.000	51.94	12/31/19	67.76	...	-15.82	2 of 4 - Sale ²⁵
	100.000	185.49	02/27/20	242.00	...	-56.51	3 of 4 - Sale ²⁵
	21.000	38.95	02/28/20	49.98	...	-11.03	4 of 4 - Sale ²⁵
06/05/20	150.000	278.23	Various	362.17	...	-83.94	Total of 4 transactions
4 transactions for 06/15/20. Total proceeds and cost reported to the IRS.							
	114.000	228.42	02/28/20	271.32	...	-42.90	1 of 4 - Sale ²⁵
	71.000	142.27	02/28/20	166.14	...	-23.87	2 of 4 - Sale ²⁵
	47.000	94.17	02/28/20	111.86	...	-17.69	3 of 4 - Sale ²⁵
	18.000	36.07	02/28/20	42.84	...	-6.77	4 of 4 - Sale ²⁵
06/15/20	250.000	500.93	Various	592.16	...	-91.23	Total of 4 transactions
2 transactions for 06/24/20. Total proceeds and cost reported to the IRS.							
	29.000	59.16	02/28/20	67.86	...	-8.70	1 of 2 - Sale ²⁵
	99.000	201.95	04/29/20	176.43	...	25.52	2 of 2 - Sale ²⁵
06/24/20	128.000	261.11	Various	244.29	...	16.82	Total of 2 transactions
07/22/20	1.000	2.03	04/29/20	1.78	...	0.25	Sale ²⁵
	Security total:	1,042.30		1,200.40	...	-158.10	
ROYAL CARIBBEAN GROUP / CUSIP: V7780T103 / Symbol:							
04/29/20	1.000	47.65	04/08/20	36.35	...	11.30	Sale ²⁵
3 transactions for 05/19/20. Total proceeds and cost reported to the IRS.							
	0.004	0.17	05/06/20	0.15	...	0.02	1 of 3 - Sale ²⁵
	0.127	5.50	05/06/20	4.85	...	0.65	2 of 3 - Sale ²⁵
	3.000	130.26	05/06/20	113.27	...	16.99	3 of 3 - Sale ²⁵
05/19/20	3.131	135.93	Various	118.27	...	17.66	Total of 3 transactions
2 transactions for 10/01/20. Total proceeds and cost reported to the IRS.							
	5.000	320.05	05/22/20	213.40	...	106.65	1 of 2 - Sale ²⁵
	20.000	1,280.19	06/22/20	1,065.20	...	214.99	2 of 2 - Sale ²⁵
10/01/20	25.000	1,600.24	Various	1,278.60	...	321.64	Total of 2 transactions
12/03/20	3.000	247.74	06/22/20	159.00	...	88.74	Sale ²⁵
	Security total:	2,031.56		1,592.22	...	439.34	

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Robinhood Securities LLC

Account 124792714

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
SEANERGY MARITIME HOLDINGS COR P COMMON STOCK / CUSIP: Y73760301 / Symbol:							
<i>4 transactions for 06/19/20. Total proceeds and cost reported to the IRS.</i>							
	100.000	19.89	06/05/20	17.03	...	2.86	1 of 4 - Sale ²⁵
	100.000	19.89	06/05/20	17.03	...	2.86	2 of 4 - Sale ²⁵
	400.000	79.55	06/05/20	68.12	...	11.43	3 of 4 - Sale ²⁵
	900.000	178.99	06/05/20	153.27	...	25.72	4 of 4 - Sale ²⁵
06/19/20	1,500.000	298.32	Various	255.45	...	42.87	Total of 4 transactions
<i>3 transactions for 06/22/20. Total proceeds and cost reported to the IRS.</i>							
	99.000	19.49	06/05/20	16.86	...	2.63	1 of 3 - Sale ²⁵
	100.000	19.69	06/05/20	17.03	...	2.66	2 of 3 - Sale ²⁵
	300.000	59.06	06/05/20	51.09	...	7.97	3 of 3 - Sale ²⁵
06/22/20	499.000	98.24	Various	84.98	...	13.26	Total of 3 transactions
06/26/20	1.000	0.18	06/05/20	0.17	...	0.01	Sale ²⁵
	Security total:	396.74		340.60	...	56.14	
TOP SHIPS, INC. COMMON STOCK / CUSIP: Y8897Y164 / Symbol:							
<i>2 transactions for 06/12/20. Total proceeds and cost reported to the IRS.</i>							
	10.000	1.55	05/26/20	1.47	...	0.08	1 of 2 - Sale ²⁵
	74.000	11.49	05/26/20	10.24	...	1.25	2 of 2 - Sale ²⁵
06/12/20	84.000	13.04	Various	11.71	...	1.33	Total of 2 transactions
06/15/20	1.000	0.14	05/26/20	0.14	...	0.00	Sale ²⁵
	Security total:	13.18		11.85	...	1.33	
Totals :		59,883.78		54,687.22	640.48 W	5,837.04	

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Robinhood Securities LLC

Account 124792714

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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

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

"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- Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
ACELRX PHARMACEUTICALS, INC. C OMMON STOCK / CUSIP: 00444T100 / Symbol:							
2 transactions for 06/05/20. Total proceeds and cost reported to the IRS.							
	20.000	28.60	11/05/18	90.00	...	-61.40	1 of 2 - Sale ²⁵
	15.000	21.45	11/09/18	48.90	...	-27.45	2 of 2 - Sale ²⁵
06/05/20	35.000	50.05	Various	138.90	...	-88.85	Total of 2 transactions
ALTIMMUNE, INC. COMMON STOCK / CUSIP: 02155H200 / Symbol:							
2 transactions for 03/26/20. Total proceeds and cost reported to the IRS.							
	13.000	45.37	10/11/18	57.98	...	-12.61	1 of 2 - Sale ²⁵
	6.000	20.94	12/12/18	18.30	...	2.64	2 of 2 - Sale ²⁵
03/26/20	19.000	66.31	Various	76.28	...	-9.97	Total of 2 transactions
BRIDGELINE DIGITAL, INC. COMMO N STOCK / CUSIP: 10807Q700 / Symbol:							
05/14/20	1.000	2.15	05/08/19	6.38	...	-4.23	Sale ²⁵
CRONOS GROUP INC. COMMON SHARE / CUSIP: 22717L101 / Symbol:							
07/07/20	1.000	6.26	01/28/19	16.02	...	-9.76	Sale ²⁵
OCEAN POWER TECHNOLOGIES, INC. COMMON STOCK / CUSIP: 674870506 / Symbol:							
06/15/20	100.000	53.00	04/04/19	317.95	...	-264.95	Sale ²⁵
06/16/20	30.000	17.01	04/15/19	84.60	...	-67.59	Sale ²⁵
	Security total:	70.01		402.55	...	-332.54	
Totals :		194.78		640.13		-445.35	

UNDETERMINED TERM TRANSACTIONS FOR NONCOVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Line 5)

Report on Form 8949, Part I with Box B checked or Part II with Box E checked. Basis is NOT provided to the IRS. (Line 12)

"Date acquired," "Cost or other basis," "Accrued market discount," "Wash sale loss disallowed" and "Gain or loss (-)" are 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	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	7- Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
ROLLS ROYCE HOLDINGS PLC SPONS ORED AMERICAN DEPOSITARY SHARE S / CUSIP: 775781206 / Symbol:							
11/23/20	0.000	1.95	N/A	Proceeds from sale of rights
Totals :		1.95		

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Robinhood Securities LLC

Account 124792714

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
HALCON RESOURCES CORPORATION C OMMON STOCK NEW / CUSIP: 40537Q803 / Symbol:							
2 transactions for 02/19/20							
	0.232	2.54	02/22/19	170.97	...	-168.43	Gain or loss
	0.186	2.03	05/20/19	16.01	...	-13.98	Gain or loss
02/19/20	0.417	4.57	Various	186.98	...	-182.41	Total of 2 transactions
HEXO CORP. / CUSIP: 428304307 / Symbol:							
12/30/20	0.250	0.99	12/11/20	1.01	...	-0.02	Gain or loss
INVESCO MORTGAGE CAPITAL INC. / CUSIP: 46131B100 / Symbol:							
07/08/20	0.098	0.36	05/19/20	0.31	...	0.05	Gain or loss
	Totals:	5.92		188.30	...	-182.38	

Robinhood Securities LLC

Account 124792714

Proceeds Not Reported to the IRS

2020

(continued)

02/14/2021

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

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

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
GROUPON, INC. COMMON STOCK / CUSIP: 399473206 / Symbol:							
06/18/20	0.050	1.05	02/05/19	3.74	...	-2.69	Gain or loss
ULTRA PETROLEUM CORP. COMMON S TOCK / CUSIP: 903914208 / Symbol:							
	<i>4 transactions for 10/19/20</i>						
	<i>400.000</i>	<i>0.00</i>	<i>02/06/19</i>	<i>294.00</i>	<i>...</i>	<i>-294.00</i>	<i>Gain or loss²⁵</i>
	<i>150.000</i>	<i>0.00</i>	<i>02/22/19</i>	<i>103.02</i>	<i>...</i>	<i>-103.02</i>	<i>Gain or loss²⁵</i>
	<i>100.000</i>	<i>0.00</i>	<i>03/05/19</i>	<i>65.00</i>	<i>...</i>	<i>-65.00</i>	<i>Gain or loss²⁵</i>
	<i>100.000</i>	<i>0.00</i>	<i>03/05/19</i>	<i>65.00</i>	<i>...</i>	<i>-65.00</i>	<i>Gain or loss²⁵</i>
10/19/20	750.000	0.00	Various	527.02	...	-527.02	Total of 4 transactions
	Totals:	1.05		530.76	...	-529.71	

Robinhood Securities LLC

Account 124792714

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
AMERICAN EAGLE OUTFITTERS	02553E106		12/30/20	0.14	Qualified dividend	
APACHE CORPORATION COMMON STOCK	037411105		05/22/20	0.03	Qualified dividend	
			08/21/20	0.03	Qualified dividend	
			11/23/20	0.03	Qualified dividend	
				0.09	Total Dividends & distributions	
APPLE INC. COMMON STOCK	037833100		05/14/20	0.06	Qualified dividend	
			08/13/20	0.06	Qualified dividend	
			11/12/20	0.06	Qualified dividend	
				0.18	Total Dividends & distributions	
BANK OZK COMMON STOCK	06417N103		04/20/20	0.27	Qualified dividend	
CSX CORPORATION COMMON STOCK	126408103		03/13/20	0.26	Qualified dividend	
			06/15/20	0.26	Qualified dividend	
				0.52	Total Dividends & distributions	
FEDEX CORPORATION	31428X106		04/01/20	15.60	Qualified dividend	
			07/13/20	18.85	Qualified dividend	
			10/01/20	0.65	Qualified dividend	
			12/28/20	0.65	Qualified dividend	
				35.75	Total Dividends & distributions	
THE GABELLI UTILITY & INCOME T RUST	36242L105		02/21/20	0.20	Nondividend distribution	03
			03/24/20	0.20	Nondividend distribution	03
			04/23/20	0.20	Nondividend distribution	03
			05/21/20	0.20	Nondividend distribution	03
			06/23/20	0.20	Nondividend distribution	03
				1.00	Total Dividends & distributions	

Robinhood Securities LLC

Account 124792714

Detail for Dividends and Distributions

2020

(continued)

02/14/2021

Security description	CUSIP and/or symbol	State	Date	Amount	Transaction type	Notes
GENERAL ELECTRIC COMPANY	369604103		07/27/20	0.01	Qualified dividend	
			10/26/20	0.01	Qualified dividend	
				0.02	Total Dividends & distributions	
HEWLETT PACKARD ENTERPRISE COMPANY	42824C109		07/01/20	0.12	Qualified dividend	
			10/07/20	0.12	Qualified dividend	
				0.24	Total Dividends & distributions	
INVESCO MORTGAGE CAPITAL INC.	46131B100		06/30/20	0.06	Nondividend distribution	03
			07/28/20	0.02	Nondividend distribution	03
			10/27/20	0.55	Nondividend distribution	03
				0.63	Total Dividends & distributions	
MCDONALD'S CORPORATION	580135101		06/15/20	0.07	Qualified dividend	
			09/15/20	0.07	Qualified dividend	
			12/15/20	0.07	Qualified dividend	
				0.21	Total Dividends & distributions	
MICROSOFT CORPORATION COMMON STOCK	594918104		03/12/20	4.08	Qualified dividend	
			06/11/20	0.03	Qualified dividend	
			09/10/20	0.03	Qualified dividend	
			12/10/20	0.03	Qualified dividend	
				4.17	Total Dividends & distributions	
NEW YORK MORTGAGE TRUST, INC. COMMON STOCK	649604501		07/27/20	0.04	Section 199A dividend	03
			07/27/20	0.01	Nondividend distribution	03
			10/26/20	0.06	Section 199A dividend	03
			10/26/20	0.02	Nondividend distribution	03
			01/25/21	0.08	Section 199A dividend	03
			01/25/21	0.02	Nondividend distribution	03
				0.23	Total Dividends & distributions	
SMITH & NEPHEW PLC	83175M205		05/06/20	37.42	Qualified dividend	
			10/28/20	16.13	Qualified dividend	
				53.55	Total Dividends & distributions	
VERIZON COMMUNICATIONS	92343V104		08/03/20	0.11	Qualified dividend	
			11/02/20	0.11	Qualified dividend	
				0.22	Total Dividends & distributions	

Robinhood Securities LLC

Account 124792714

Detail for Dividends and Distributions

2020

(continued)

02/14/2021

Security description	CUSIP and/or symbol	State	Date	Amount	Transaction type	Notes
WORLD WRESTLING ENTERTAINMENT	98156Q108		03/25/20	3.60	Qualified dividend	
			06/25/20	0.01	Qualified dividend	
			09/25/20	0.01	Qualified dividend	
			12/28/20	0.01	Qualified dividend	
				3.63	Total Dividends & distributions	
YAMANA GOLD, INC.	98462Y100		04/14/20	0.01	Nonqualified dividend	
			07/14/20	0.02	Nonqualified dividend	
			10/14/20	0.02	Nonqualified dividend	
				0.05	Total Dividends & distributions	
MIND C.T.I. LTD. ORDINARY SHAR ES	M70240102		04/16/20	102.96	Nonqualified dividend	
			04/16/20	-20.59	Foreign tax withheld-IS	
				102.96	Total Dividends & distributions	
				-20.59	Total Foreign tax withheld	
				203.86	Total Dividends & distributions	
				-20.59	Total Foreign tax withheld	

Robinhood Securities LLC

Account 124792714

Mutual Fund and UIT Supplemental Information

2020

02/14/2021

The following information may be useful in the preparation of your federal and state income tax return(s). This information represents what was available at the time your tax statement was prepared. It may not be all inclusive and is subject to change. Please contact your mutual fund or UIT directly if you need to verify or supplement this information. Note that depending on your state of residence not all Federal Source income is exempt from state taxation. You may wish to consult with your tax advisor, the IRS or your state tax authority regarding the proper treatment.

THE GABELLI UTILITY & INCOME T RUST / 36242L105**PERCENTAGE OF INCOME FROM US GOVERNMENT SECURITIES****Fed Source Total**

4.73% (A detailed breakdown is shown below when available)

<u>Agency</u>	<u>%</u>	<u>Agency</u>	<u>%</u>	<u>Agency</u>	<u>%</u>
U.S. Treasury	0.00	Fed Farm Credit	0.00	TN Valley Auth	0.00
Fed Home Loan	0.00	Student Loan	0.00	Other Dir. Fed	4.73

Robinhood Securities LLC

Account 124792714

Foreign Income and Taxes Summary

2020

02/14/2021

This schedule lists all income and foreign tax by country. Mutual Funds and Unit Investment Trusts (UITs) structured as Regulated Investment Companies (RICs) are listed separately with a country designation of "RIC."

Country	Security Description	CUSIP	Nonqualified	Dividends		Interest	Total Income	Tax
				Qualified				
CA	YAMANA GOLD, INC.	98462Y100	0.05	0.00	0.00	0.05	0.00	
Total CANADA			0.05	0.00	0.00	0.05	0.00	
IS	MIND C.T.I. LTD. ORDINARY SHAR ES	M70240102	102.96	0.00	0.00	102.96	-20.59	
Total ISRAEL			102.96	0.00	0.00	102.96	-20.59	
UK	SMITH & NEPHEW PLC	83175M205	0.00	53.55	0.00	53.55	0.00	
Total UNITED KINGDOM			0.00	53.55	0.00	53.55	0.00	
Grand Total	Total Foreign Source Income*			156.56				
	Qualified Foreign Source Income**			53.55				
	Foreign Tax						-20.59	

* Total Foreign Source Income utilizes the "Total" column for RICs which may not always be supplied.

** Qualified Foreign Source Income utilizes the "Qualified" column for RICs which may not always be supplied.

Robinhood Securities LLC

Account 124792714

Non-Reportable Actions

2020

02/14/2021

Security Description	CUSIP and/or symbol	Date	Quantity	Amount	Transaction type	Notes
BATTALION OIL CORPORATION SER IES B WARRANTS	07134L115	02/12/20	2.00	0.00	Exchange	
HALC SERIES A WARRANTS	07134L123	02/12/20	2.00	0.00	Exchange	
HALC SERIES C WARRANTS	07134L131	02/12/20	3.00	0.00	Exchange	
HKRSQ SERIES B WARRANTS	40537Q126	02/12/20	-2.00	0.00	Exchange	
HKRSQ SERIES A WARRANTS	40537Q134	02/12/20	-2.00	0.00	Exchange	
HKRSQ SERIES C WARRANTS	40537Q142	02/12/20	-3.00	0.00	Exchange	
ULTRA PETROLEUM CORP. COMMON S TOCK	903914208	10/19/20	-750.00	0.00	Security deemed worthless	

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

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

Common Instructions for Recipient

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Instructions for Recipient

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

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

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

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

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

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

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

1099-B Instructions for Recipient

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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