

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 752999755	Statement Date: 03/22/2021 AMENDED Document ID: WU27 4VA 94U4	2020
	Enoch Yannapu 10833 folsom blvd apt 217 Rancho Cordovo, CA 95670 RECIPIENT'S TIN: XXX-XX-9763		

Summary Information

<p>DIVIDENDS AND DISTRIBUTIONS 2020 1099-DIV* OMB No. 1545-0110</p> <p>1a- Total ordinary dividends (includes lines 1b, 5) 6.44</p> <p>1b- Qualified dividends 5.36</p> <p>2a- Total capital gain distributions (includes lines 2b, 2c, 2d) 0.09</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 0.16</p> <p>4- Federal income tax withheld 0.00</p> <p>5- Section 199A dividends 0.48</p> <p>6- Investment expenses 0.00</p> <p>8- Foreign country or US possession: See detail 0.05</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 style="text-align: center;">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 1.81</p> <p style="text-align: center;">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)	69,474.19	58,446.40	0.00	221.16	11,248.95
Short	B (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Short	C (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
	Total Short-term	69,474.19	58,446.40	0.00	221.16	11,248.95
Long	D (basis reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Long	E (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Long	F (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
	Total Long-term	0.00	0.00	0.00	0.00	0.00
Undetermined	B or E (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Undetermined	C or F (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
	Total Undetermined-term	0.00	0.00	0.00	0.00	0.00
	Grand total	69,474.19	58,446.40	0.00	221.16	11,248.95
Withholding		Amount				
	Federal income tax withheld	0.00				

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

Robinhood Securities LLC

Account 752999755

Summary Information

2020

(continued)

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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	69.05
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
AAPL 10/30/2020 CALL \$112.00 / CUSIP: / Symbol: 09/30/20	1.000	826.97	09/23/20	650.00	...	176.97	Option sale to close-call ²⁵
AAPL 10/30/2020 CALL \$114.00 / CUSIP: / Symbol: 10/01/20	1.000	-154.03	09/30/20	0.00	...	-154.03	Short sale closed- call ²⁵ Option written: 09/23/20
AAPL 11/20/2020 CALL \$116.25 / CUSIP: / Symbol: 10/13/20	1.000	1,154.96	10/01/20	865.00	...	289.96	Option sale to close-call ²⁵
AAPL 11/20/2020 CALL \$118.75 / CUSIP: / Symbol: 10/14/20	1.000	-257.03	10/13/20	0.00	...	-257.03	Short sale closed- call ²⁵ Option written: 10/01/20
AAPL 11/20/2020 CALL \$122.50 / CUSIP: / Symbol: 11/05/20	1.000	164.98	10/12/20	718.00	...	-553.02	Option sale to close-call ²⁵

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Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

03/22/2021 AMENDED

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1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
AAPL 11/20/2020 CALL \$123.75 / CUSIP: / Symbol:							
11/06/20	1.000	526.97	11/05/20	0.00	...	526.97	Short sale closed- call ²⁵ Option written: 10/12/20
FEYE 12/24/2020 CALL \$22.00 / CUSIP: / Symbol:							
2 transactions for 12/22/20. Total proceeds and cost reported to the IRS.							
	1.000	32.98	12/22/20	54.00	...	-21.02	1 of 2 - Option sale to close-call ²⁵
	1.000	69.98	12/22/20	54.00	...	15.98	2 of 2 - Option sale to close-call ²⁵
12/22/20	2.000	102.96	Various	108.00	...	-5.04	Total of 2 transactions
GNUS 12/31/2020 CALL \$1.00 / CUSIP: / Symbol:							
12/01/20	1.000	39.98	11/25/20	40.00	...	-0.02	Option sale to close-call ²⁵
LCA 11/20/2020 CALL \$17.50 / CUSIP: / Symbol:							
11/18/20	1.000	4.98	11/16/20	10.00	5.02 W	0.00	Option sale to close-call ²⁵
11/20/20	1.000	0.00	11/16/20	15.02	...	-15.02	Option expiration- long call
	Security total:	4.98		25.02	5.02 W	-15.02	
MPLN 04/16/2021 CALL \$7.50 / CUSIP: / Symbol:							
12/22/20	1.000	274.98	11/19/20	175.00	...	99.98	Option sale to close-call ²⁵
12/30/20	1.000	199.98	11/19/20	180.00	...	19.98	Option sale to close-call ²⁵
	Security total:	474.96		355.00	...	119.96	
MPLN 10/16/2020 CALL \$10.00 / CUSIP: / Symbol:							
10/16/20	1.000	0.00	10/09/20	40.00	...	-40.00	Option expiration- long call
NET 11/20/2020 CALL \$50.00 / CUSIP: / Symbol:							
10/13/20	1.000	999.96	10/12/20	710.00	...	289.96	Option sale to close-call ²⁵
NET 11/20/2020 CALL \$55.00 / CUSIP: / Symbol:							
10/14/20	1.000	-235.03	10/13/20	0.00	...	-235.03	Short sale closed- call ²⁵ Option written: 10/12/20
NIO 10/16/2020 CALL \$25.00 / CUSIP: / Symbol:							
10/15/20	1.000	284.98	10/14/20	94.00	...	190.98	Option sale to close-call ²⁵

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Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

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03/22/2021 AMENDED

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1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
NIO 10/23/2020 CALL \$18.00 / CUSIP: / Symbol:							
09/30/20	1.000	373.98	09/24/20	182.00	...	191.98	Option sale to close-call ²⁵
NIO 10/23/2020 CALL \$20.00 / CUSIP: / Symbol:							
10/01/20	1.000	-148.02	09/30/20	0.00	...	-148.02	Short sale closed- call ²⁵ Option written: 09/24/20
NIO 10/30/2020 CALL \$18.50 / CUSIP: / Symbol:							
10/14/20	1.000	679.97	09/25/20	207.00	...	472.97	Option sale to close-call ²⁵
NIO 10/30/2020 CALL \$27.00 / CUSIP: / Symbol:							
		<i>2 transactions for 10/27/20. Total proceeds and cost reported to the IRS.</i>					
	1.000	153.98	10/20/20	217.00	...	-63.02	1 of 2 - Option sale to close-call ²⁵
	1.000	175.98	10/20/20	217.00	...	-41.02	2 of 2 - Option sale to close-call ²⁵
10/27/20	2.000	329.96	Various	434.00	...	-104.04	Total of 2 transactions
NIO 10/30/2020 CALL \$28.00 / CUSIP: / Symbol:							
		<i>2 transactions for 10/28/20. Total proceeds and cost reported to the IRS.</i>					
	1.000	53.99	10/27/20	0.00	...	53.99	1 of 2 - Short sale closed- call ²⁵ Option written: 10/20/20
	1.000	72.99	10/27/20	0.00	...	72.99	2 of 2 - Short sale closed- call ²⁵ Option written: 10/20/20
10/28/20	2.000	126.98	Various	0.00	...	126.98	Total of 2 transactions
NIO 11/27/2020 CALL \$26.00 / CUSIP: / Symbol:							
11/20/20	1.000	2,284.93	10/14/20	375.00	...	1,909.93	Option sale to close-call ²⁵
NKE 10/23/2020 CALL \$119.00 / CUSIP: / Symbol:							
09/28/20	1.000	807.97	09/22/20	392.00	...	415.97	Option sale to close-call ²⁵
NKE 10/23/2020 CALL \$120.00 / CUSIP: / Symbol:							
09/29/20	1.000	-382.02	09/28/20	0.00	...	-382.02	Short sale closed- call ²⁵ Option written: 09/22/20
NKLA 09/25/2020 PUT \$26.00 / CUSIP: / Symbol:							
09/24/20	1.000	-150.02	09/23/20	0.00	...	-150.02	Short sale closed- put ²⁵ Option written: 09/21/20

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Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

03/22/2021 AMENDED

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

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

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1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
NKLA 09/25/2020 PUT \$27.00 / CUSIP: / Symbol:							
09/23/20	1.000	404.98	09/21/20	210.00	...	194.98	Option sale to close-put ²⁵
PFE1 11/20/2020 CALL \$39.00 / CUSIP: / Symbol:							
11/17/20	1.000	11.98	11/13/20	56.00	...	-44.02	Option sale to close-call ²⁵
PIC 02/19/2021 CALL \$12.50 / CUSIP: / Symbol:							
12/08/20	1.000	549.97	11/23/20	225.00	...	324.97	Option sale to close-call ²⁵
PIC 05/21/2021 CALL \$10.00 / CUSIP: / Symbol:							
12/04/20	1.000	649.97	11/23/20	380.00	...	269.97	Option sale to close-call ²⁵
PLTR 02/19/2021 CALL \$10.00 / CUSIP: / Symbol:							
11/04/20	1.000	225.98	10/07/20	299.00	...	-73.02	Option sale to close-call ²⁵
PLTR 02/19/2021 CALL \$12.50 / CUSIP: / Symbol:							
11/05/20	1.000	90.98	11/04/20	0.00	...	90.98	Short sale closed- call ²⁵ Option written: 10/07/20
PLTR 11/27/2020 CALL \$10.00 / CUSIP: / Symbol:							
11/18/20	1.000	909.96	10/09/20	150.00	...	759.96	Option sale to close-call ²⁵
PLTR 12/04/2020 CALL \$14.00 / CUSIP: / Symbol:							
11/20/20	1.000	439.98	11/06/20	185.00	...	254.98	Option sale to close-call ²⁵
RIDE 01/15/2021 CALL \$25.00 / CUSIP: / Symbol:							
	2 transactions for 11/18/20. Total proceeds and cost reported to the IRS.						
	1.000	410.98	09/28/20	965.00	...	-554.02	1 of 2 - Option sale to close-call ²⁵
	1.000	423.98	09/29/20	960.00	...	-536.02	2 of 2 - Option sale to close-call ²⁵
11/18/20	2.000	834.96	Various	1,925.00	...	-1,090.04	Total of 2 transactions

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Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

03/22/2021 AMENDED

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
RIDE 01/15/2021 CALL \$30.00 / CUSIP: / Symbol:							
2 transactions for 11/19/20. Total proceeds and cost reported to the IRS.							
	1.000	566.97	11/18/20	0.00	...	566.97	1 of 2 - Short sale closed- call ²⁵ Option written: 09/29/20
	1.000	578.97	11/18/20	0.00	...	578.97	2 of 2 - Short sale closed- call ²⁵ Option written: 09/28/20
11/19/20	2.000	1,145.94	Various	0.00	...	1,145.94	Total of 2 transactions
ROKU 01/15/2021 CALL \$185.00 / CUSIP: / Symbol:							
10/01/20	1.000	3,341.91	09/21/20	3,016.00	...	325.91	Option sale to close-call ²⁵
ROKU 01/15/2021 CALL \$190.00 / CUSIP: / Symbol:							
10/02/20	1.000	-299.08	10/01/20	0.00	...	-299.08	Short sale closed- call ²⁵ Option written: 09/21/20
RXT 01/15/2021 CALL \$20.00 / CUSIP: / Symbol:							
12/30/20	1.000	109.98	12/08/20	99.00	...	10.98	Option sale to close-call ²⁵
RXT 02/19/2021 CALL \$15.00 / CUSIP: / Symbol:							
12/28/20	1.000	519.97	11/20/20	290.00	...	229.97	Option sale to close-call ²⁵
SQ 01/15/2021 CALL \$165.00 / CUSIP: / Symbol:							
10/05/20	1.000	3,162.92	09/29/20	2,290.00	...	872.92	Option sale to close-call ²⁵
SQ 01/15/2021 CALL \$170.00 / CUSIP: / Symbol:							
10/06/20	1.000	-828.06	10/05/20	0.00	...	-828.06	Short sale closed- call ²⁵ Option written: 09/29/20
T 01/15/2021 CALL \$29.00 / CUSIP: / Symbol:							
10/08/20	1.000	112.98	09/25/20	79.00	...	33.98	Option sale to close-call ²⁵
11/13/20	1.000	84.98	09/25/20	79.00	...	5.98	Option sale to close-call ²⁵
	Security total:	197.96		158.00	...	39.96	
TELL 07/16/2021 CALL \$1.00 / CUSIP: / Symbol:							
12/07/20	1.000	89.98	11/24/20	60.00	...	29.98	Option sale to close-call ²⁵

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Robinhood Securities LLC

Account 752999755

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

03/22/2021 AMENDED

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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TRNE 12/18/2020 CALL \$12.50 / CUSIP: / Symbol:							
12/02/20	1.000	164.98	11/24/20	115.00	...	49.98	Option sale to close-call ²⁵
12/07/20	1.000	689.97	11/24/20	115.00	...	574.97	Option sale to close-call ²⁵
	Security total:	854.95		230.00	...	624.95	
TSLA 10/30/2020 CALL \$415.00 / CUSIP: / Symbol:							
10/08/20	1.000	4,374.89	09/28/20	5,030.00	...	-655.11	Option sale to close-call ²⁵
TSLA 10/30/2020 CALL \$425.00 / CUSIP: / Symbol:							
10/09/20	1.000	714.88	10/08/20	0.00	...	714.88	Short sale closed- call ²⁵ Option written: 09/28/20
U 11/20/2020 CALL \$90.00 / CUSIP: / Symbol:							
10/09/20	1.000	1,549.95	09/25/20	1,487.00	...	62.95	Option sale to close-call ²⁵
10/22/20	1.000	1,121.96	09/25/20	1,487.00	...	-365.04	Option sale to close-call ²⁵
	Security total:	2,671.91		2,974.00	...	-302.09	
U 11/20/2020 CALL \$95.00 / CUSIP: / Symbol:							
10/12/20	1.000	-25.04	10/09/20	0.00	...	-25.04	Short sale closed- call ²⁵ Option written: 09/25/20
10/23/20	1.000	422.96	10/22/20	0.00	...	422.96	Short sale closed- call ²⁵ Option written: 09/25/20
	Security total:	397.92		0.00	...	397.92	
VALE 01/21/2022 CALL \$12.00 / CUSIP: / Symbol:							
12/28/20	1.000	504.97	11/23/20	205.00	...	299.97	Option sale to close-call ²⁵
VTRS 01/15/2021 CALL \$17.50 / CUSIP: / Symbol:							
11/25/20	1.000	104.98	11/24/20	101.00	...	3.98	Option sale to close-call ²⁵
12/02/20	1.000	108.98	11/24/20	101.00	...	7.98	Option sale to close-call ²⁵
	Security total:	213.96		202.00	...	11.96	
WKHS 09/25/2020 CALL \$31.00 / CUSIP: / Symbol:							
09/25/20	1.000	0.00	09/21/20	207.00	...	-207.00	Option expiration- long call

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WKHS 09/25/2020 CALL \$32.00 / CUSIP: / Symbol:							
09/25/20	1.000	171.98	09/25/20	0.00	...	171.98	Short sale closed- call expired Option written: 09/21/20
WKHS 10/30/2020 CALL \$27.00 / CUSIP: / Symbol:							
10/30/20	1.000	0.00	09/28/20	550.00	...	-550.00	Option expiration- long call
ZNGA 02/19/2021 CALL \$8.00 / CUSIP: / Symbol:							
11/23/20	1.000	91.98	11/20/20	91.00	...	0.98	Option sale to close-call ²⁵
12/03/20	1.000	91.98	11/20/20	91.00	...	0.98	Option sale to close-call ²⁵
	Security total:	183.96		182.00	...	1.96	
AGNC INVESTMENT CORP. COMMON S TOCK / CUSIP: 00123Q104 / Symbol:							
12/07/20	1.000	15.49	11/02/20	14.00	...	1.49	Sale ²⁵
AMC ENTERTAINMENT HOLDINGS, IN C. / CUSIP: 00165C104 / Symbol:							
2 transactions for 09/02/20. Total proceeds and cost reported to the IRS.							
	0.407	2.85	09/01/20	2.48	...	0.37	1 of 2 - Sale ²⁵
	15.987	111.93	09/01/20	97.52	...	14.41	2 of 2 - Sale ²⁵
09/02/20	16.394	114.78	Various	100.00	...	14.78	Total of 2 transactions
AT&T INC. / CUSIP: 00206R102 / Symbol:							
3 transactions for 12/04/20. Total proceeds and cost reported to the IRS.							
	0.291	8.57	09/17/20	8.47	...	0.10	1 of 3 - Sale ²⁵
	3.364	99.30	09/17/20	98.03	...	1.27	2 of 3 - Sale ²⁵
	3.636	107.31	11/03/20	100.00	...	7.31	3 of 3 - Sale ²⁵
12/04/20	7.291	215.18	Various	206.50	...	8.68	Total of 3 transactions
ABBVIE INC. / CUSIP: 00287Y109 / Symbol:							
3 transactions for 11/12/20. Total proceeds and cost reported to the IRS.							
	0.001	0.10	11/05/20	0.10	...	0.00	1 of 3 - Sale ²⁵
	0.048	4.67	11/05/20	4.60	...	0.07	2 of 3 - Sale ²⁵
	0.999	96.84	11/05/20	95.30	...	1.54	3 of 3 - Sale ²⁵
11/12/20	1.048	101.61	Various	100.00	...	1.61	Total of 3 transactions

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ADVANCED MICRO DEVICES, INC. C OMMON STOCK / CUSIP: 007903107 / Symbol:							
4 transactions for 11/23/20. Total proceeds and cost reported to the IRS.							
	0.678	58.37	09/01/20	62.36	...	-3.99	1 of 4 - Sale ²⁵
	0.132	11.32	11/03/20	10.73	...	0.59	2 of 4 - Sale ²⁵
	0.322	27.66	11/03/20	26.22	...	1.44	3 of 4 - Sale ²⁵
	0.868	74.70	11/03/20	65.71	...	8.99	4 of 4 - Sale ²⁵
11/23/20	2.000	172.05	Various	165.02	...	7.03	Total of 4 transactions
2 transactions for 11/23/20. Total proceeds and cost reported to the IRS.							
	0.132	11.32	09/01/20	12.09	0.77 W	0.00	1 of 2 - Sale ²⁵
	0.322	27.66	09/01/20	29.55	1.89 W	0.00	2 of 2 - Sale ²⁵
11/23/20	0.453	38.98	Various	41.64	2.66 W	0.00	Total of 2 transactions
	Security total:	211.03		206.66	2.66 W	7.03	
AIRBNB, INC. CLASS A COMMON ST OCK / CUSIP: 009066101 / Symbol:							
5 transactions for 12/10/20. Total proceeds and cost reported to the IRS.							
	0.453	65.82	12/10/20	69.66	...	-3.84	1 of 5 - Sale ²⁵
	0.089	12.90	12/10/20	13.65	...	-0.75	2 of 5 - Sale ²⁵
	0.071	10.28	12/10/20	10.90	...	-0.62	3 of 5 - Sale ²⁵
	0.027	3.91	12/10/20	4.14	...	-0.23	4 of 5 - Sale ²⁵
	0.011	1.56	12/10/20	1.65	...	-0.09	5 of 5 - Sale ²⁵
12/10/20	0.651	94.47	Various	100.00	...	-5.53	Total of 5 transactions
ALDEYRA THERAPEUTICS, INC. COM MON STOCK / CUSIP: 01438T106 / Symbol:							
12/11/20	1.000	7.30	11/30/20	7.03	...	0.27	Sale ²⁵
ALPHATEC HOLDINGS, INC. COMMON STOCK / CUSIP: 02081G201 / Symbol:							
4 transactions for 10/09/20. Total proceeds and cost reported to the IRS.							
	0.010	0.10	10/08/20	0.09	...	0.01	1 of 4 - Sale ²⁵
	0.010	0.10	10/08/20	0.09	...	0.01	2 of 4 - Sale ²⁵
	0.039	0.38	10/08/20	0.35	...	0.03	3 of 4 - Sale ²⁵
	2.990	29.15	10/08/20	26.87	...	2.28	4 of 4 - Sale ²⁵
10/09/20	3.049	29.73	Various	27.40	...	2.33	Total of 4 transactions

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AMERICAN AIRLINES GROUP INC. C OMMON STOCK / CUSIP: 02376R102 / Symbol:							
09/01/20	3.808	49.25	09/01/20	50.00	0.75 W	0.00	Sale ²⁵
	4 transactions for 09/16/20. Total proceeds and cost reported to the IRS.						
	2.955	40.73	09/08/20	41.71	...	-0.98	1 of 4 - Sale ²⁵
	3.043	41.95	09/08/20	42.36	...	-0.41	2 of 4 - Sale ²⁵
	0.651	8.98	09/08/20	9.13	...	-0.15	3 of 4 - Sale ²⁵
	0.202	2.78	09/08/20	2.85	...	-0.07	4 of 4 - Sale ²⁵
09/16/20	6.851	94.44	Various	96.05	...	-1.61	Total of 4 transactions
	Security total:	143.69		146.05	0.75 W	-1.61	
ANNALY CAPITAL MANAGEMENT. INC. / CUSIP: 035710409 / Symbol:							
12/07/20	1.000	8.28	11/16/20	7.68	...	0.60	Sale ²⁵
APPIAN CORPORATION CLASS A COM MON STOCK / CUSIP: 03782L101 / Symbol:							
12/23/20	0.005	0.76	11/27/20	1.00	...	-0.24	Sale ²⁵
APPLE INC. COMMON STOCK / CUSIP: 037833100 / Symbol:							
	8 transactions for 12/01/20. Total proceeds and cost reported to the IRS.						
	0.523	63.91	08/31/20	68.05	...	-4.14	1 of 8 - Sale ²⁵
	0.746	91.12	09/01/20	100.00	...	-8.88	2 of 8 - Sale ²⁵
	1.000	122.13	10/12/20	122.78	...	-0.65	3 of 8 - Sale ²⁵
	0.702	85.72	10/12/20	86.19	...	-0.47	4 of 8 - Sale ²⁵
	0.000	0.03	10/12/20	0.03	...	0.00	5 of 8 - Sale ²⁵
	0.029	3.52	11/03/20	3.38	...	0.14	6 of 8 - Sale ²⁵
	0.448	54.69	11/03/20	52.71	...	1.98	7 of 8 - Sale ²⁵
	0.552	67.38	11/03/20	60.63	...	6.75	8 of 8 - Sale ²⁵
12/01/20	4.000	488.50	Various	493.77	...	-5.27	Total of 8 transactions
12/01/20	0.477	58.26	08/31/20	61.98	3.72 W	0.00	Sale ²⁵
	Security total:	546.76		555.75	3.72 W	-5.27	
AQUABOUTY TECHNOLOGIES, INC. COMMON STOCK / CUSIP: 03842K200 / Symbol:							
	4 transactions for 12/01/20. Total proceeds and cost reported to the IRS.						
	0.225	1.22	09/21/20	1.14	...	0.08	1 of 4 - Sale ²⁵
	19.460	105.67	09/21/20	98.86	...	6.81	2 of 4 - Sale ²⁵

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AQUABOUTY TECHNOLOGIES, INC. COMMON STOCK / CUSIP: 03842K200 / Symbol: (cont'd)							
	0.218	1.18	09/25/20	1.00	...	0.18	3 of 4 - Sale ²⁵
	21.322	115.78	10/09/20	100.00	...	15.78	4 of 4 - Sale ²⁵
12/01/20	41.225	223.85	Various	201.00	...	22.85	Total of 4 transactions
ARMOUR RESIDENTIAL REIT, INC. / CUSIP: 042315507 / Symbol:							
12/07/20	1.000	11.09	11/16/20	10.32	...	0.77	Sale ²⁵
ARROWHEAD PHARMACEUTICALS, INC. COMMON STOCK / CUSIP: 04280A100 / Symbol:							
09/18/20	0.042	1.93	09/16/20	2.00	...	-0.07	Sale ²⁵
ASANA, INC. CLASS A COMMON STOCK / CUSIP: 04342Y104 / Symbol:							
12/09/20	1.000	28.20	11/30/20	27.52	...	0.68	Sale ²⁵
AVNET, INC. COMMON STOCK / CUSIP: 053807103 / Symbol:							
2 transactions for 12/07/20. Total proceeds and cost reported to the IRS.							
	0.418	13.58	11/13/20	11.98	...	1.60	1 of 2 - Sale ²⁵
	2.000	65.01	11/13/20	57.33	...	7.68	2 of 2 - Sale ²⁵
12/07/20	2.418	78.59	Various	69.31	...	9.28	Total of 2 transactions
BANK OF AMERICA CORPORATION / CUSIP: 060505104 / Symbol:							
12/03/20	1.000	28.93	11/03/20	24.82	...	4.11	Sale ²⁵
12/04/20	3.000	87.51	11/03/20	74.45	...	13.06	Sale ²⁵
	Security total:	116.44		99.27	...	17.17	
BIGCOMMERCE HOLDINGS, INC. SERIES 1 COMMON STOCK / CUSIP: 08975P108 / Symbol:							
09/29/20	1.000	87.73	09/10/20	83.40	...	4.33	Sale ²⁵
BIOCRYST PHARMACEUTICALS, INC. COMMON STOCK / CUSIP: 09058V103 / Symbol:							
3 transactions for 12/09/20. Total proceeds and cost reported to the IRS.							
	2.000	14.43	11/25/20	9.44	...	4.99	1 of 3 - Sale ²⁵
	0.384	2.77	11/27/20	1.85	...	0.92	2 of 3 - Sale ²⁵
	2.616	18.88	11/27/20	12.60	...	6.28	3 of 3 - Sale ²⁵
12/09/20	5.000	36.08	Various	23.89	...	12.19	Total of 3 transactions

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BIOCRYST PHARMACEUTICALS, INC. COMMON STOCK / CUSIP: 09058V103 / Symbol: (cont'd)							
2 transactions for 12/14/20. Total proceeds and cost reported to the IRS.							
	0.377	3.20	11/27/20	1.82	...	1.38	1 of 2 - Sale ²⁵
	7.000	59.40	11/27/20	33.73	...	25.67	2 of 2 - Sale ²⁵
12/14/20	7.377	62.60	Various	35.55	...	27.05	Total of 2 transactions
	Security total:	98.68		59.44	...	39.24	
C3.AI, INC. / CUSIP: 12468P104 / Symbol:							
12/14/20	0.822	90.69	12/10/20	100.00	...	-9.31	Sale ²⁵
CIIG MERGER CORP. CLASS A COMM ON STOCK / CUSIP: 12559C103 / Symbol:							
3 transactions for 11/23/20. Total proceeds and cost reported to the IRS.							
	0.196	4.56	11/19/20	3.37	...	1.19	1 of 3 - Sale ²⁵
	0.207	4.81	11/19/20	3.52	...	1.29	2 of 3 - Sale ²⁵
	28.586	664.61	11/19/20	493.11	...	171.50	3 of 3 - Sale ²⁵
11/23/20	28.989	673.98	Various	500.00	...	173.98	Total of 3 transactions
11/24/20	2.000	59.40	11/23/20	50.08	...	9.32	Sale ²⁵
	Security total:	733.38		550.08	...	183.30	
CARNIVAL CORPORATION / CUSIP: 143658300 / Symbol:							
4 transactions for 11/09/20. Total proceeds and cost reported to the IRS.							
	0.274	5.19	09/08/20	5.12	...	0.07	1 of 4 - Sale ²⁵
	0.274	5.21	09/08/20	5.12	...	0.09	2 of 4 - Sale ²⁵
	0.334	6.31	09/08/20	6.22	...	0.09	3 of 4 - Sale ²⁵
	0.726	13.79	09/08/20	13.54	...	0.25	4 of 4 - Sale ²⁵
11/09/20	1.608	30.50	Various	30.00	...	0.50	Total of 4 transactions
CARPARTS.COM, INC. COMMON STOCK / CUSIP: 14427M107 / Symbol:							
2 transactions for 10/13/20. Total proceeds and cost reported to the IRS.							
	0.004	0.05	10/12/20	0.05	...	0.00	1 of 2 - Sale ²⁵
	7.846	102.35	10/12/20	99.95	...	2.40	2 of 2 - Sale ²⁵
10/13/20	7.850	102.40	Various	100.00	...	2.40	Total of 2 transactions
CASI PHARMACEUTICALS, INC. COMMON STOCK / CUSIP: 14757U109 / Symbol:							
12/21/20	1.000	2.86	11/27/20	2.63	...	0.23	Sale ²⁵

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CELLECTAR BIOSCIENCES, INC. C OMMON STOCK / CUSIP: 15117F500 / Symbol:							
2 transactions for 12/07/20. Total proceeds and cost reported to the IRS.							
	0.065	0.13	11/24/20	0.08	...	0.05	1 of 2 - Sale ²⁵
	4.000	8.28	11/24/20	4.92	...	3.36	2 of 2 - Sale ²⁵
12/07/20	4.065	8.41	Various	5.00	...	3.41	Total of 2 transactions
CHIMERA INVESTMENT CORP. / CUSIP: 16934Q208 / Symbol:							
12/07/20	1.000	10.85	10/22/20	8.42	...	2.43	Sale ²⁵
CHINDATA GROUP HOLDINGS LIMITE D AMERICAN DEPOSITARY SHARES / CUSIP: 16955F107 / Symbol:							
11/16/20	0.671	10.31	10/01/20	10.39	...	-0.08	Sale ²⁵
5 transactions for 11/17/20. Total proceeds and cost reported to the IRS.							
	27.329	446.00	10/01/20	423.61	...	22.39	1 of 5 - Sale ²⁵
	0.466	7.60	10/09/20	7.26	...	0.34	2 of 5 - Sale ²⁵
	2.996	48.90	10/09/20	46.74	...	2.16	3 of 5 - Sale ²⁵
	0.214	3.50	10/12/20	3.33	...	0.17	4 of 5 - Sale ²⁵
	2.994	48.86	10/12/20	46.67	...	2.19	5 of 5 - Sale ²⁵
11/17/20	34.000	554.86	Various	527.61	...	27.25	Total of 5 transactions
	Security total:	565.17		538.00	...	27.17	
CITIGROUP INC. / CUSIP: 172967424 / Symbol:							
8 transactions for 11/16/20. Total proceeds and cost reported to the IRS.							
	0.013	0.64	11/03/20	0.55	...	0.09	1 of 8 - Sale ²⁵
	0.216	10.94	11/03/20	9.45	...	1.49	2 of 8 - Sale ²⁵
	0.008	0.38	11/04/20	0.32	...	0.06	3 of 8 - Sale ²⁵
	1.584	80.18	11/04/20	67.38	...	12.80	4 of 8 - Sale ²⁵
	0.338	17.11	11/05/20	14.46	...	2.65	5 of 8 - Sale ²⁵
	2.000	101.21	11/05/20	85.54	...	15.67	6 of 8 - Sale ²⁵
	0.001	0.08	11/09/20	0.07	...	0.01	7 of 8 - Sale ²⁵
	0.853	43.15	11/09/20	39.93	...	3.22	8 of 8 - Sale ²⁵
11/16/20	5.013	253.69	Various	217.70	...	35.99	Total of 8 transactions

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Robinhood Securities LLC

Account 752999755

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

03/22/2021 AMENDED

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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CITIZENS FINANCIAL GROUP, INC. / CUSIP: 174610105 / Symbol:							
3 transactions for 11/16/20. Total proceeds and cost reported to the IRS.							
	0.019	0.64	11/06/20	0.56	...	0.08	1 of 3 - Sale ²⁵
	0.437	14.55	11/06/20	12.73	...	1.82	2 of 3 - Sale ²⁵
	2.981	99.12	11/06/20	86.71	...	12.41	3 of 3 - Sale ²⁵
11/16/20	3.437	114.31	Various	100.00	...	14.31	Total of 3 transactions
CO-DIAGNOSTICS, INC. COMMON STOCK / CUSIP: 189763105 / Symbol:							
4 transactions for 09/10/20. Total proceeds and cost reported to the IRS.							
	0.008	0.10	09/08/20	0.09	...	0.01	1 of 4 - Sale ²⁵
	0.158	1.90	09/08/20	1.72	...	0.18	2 of 4 - Sale ²⁵
	3.992	48.01	09/08/20	43.59	...	4.42	3 of 4 - Sale ²⁵
	5.000	60.12	09/08/20	54.60	...	5.52	4 of 4 - Sale ²⁵
09/10/20	9.158	110.13	Various	100.00	...	10.13	Total of 4 transactions
3 transactions for 09/17/20. Total proceeds and cost reported to the IRS.							
	0.589	8.41	09/11/20	8.03	...	0.38	1 of 3 - Sale ²⁵
	0.899	12.83	09/11/20	12.25	...	0.58	2 of 3 - Sale ²⁵
	4.512	64.44	09/11/20	58.75	...	5.69	3 of 3 - Sale ²⁵
09/17/20	6.000	85.68	Various	79.03	...	6.65	Total of 3 transactions
09/18/20	0.410	6.04	09/11/20	5.60	...	0.44	Sale ²⁵
	Security total:	201.85		184.63	...	17.22	
CORCEPT THERAPEUTICS INCORPORATED COMMON STOCK / CUSIP: 218352102 / Symbol:							
4 transactions for 11/19/20. Total proceeds and cost reported to the IRS.							
	0.051	1.14	09/02/20	1.00	...	0.14	1 of 4 - Sale ²⁵
	0.130	2.89	09/02/20	2.57	...	0.32	2 of 4 - Sale ²⁵
	0.082	1.84	09/02/20	1.50	...	0.34	3 of 4 - Sale ²⁵
	4.868	109.67	09/02/20	96.43	...	13.24	4 of 4 - Sale ²⁵
11/19/20	5.130	115.54	Various	101.50	...	14.04	Total of 4 transactions

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DELEK LOGISTICS PARTNERS, LP / CUSIP: 24664T103 / Symbol:							
2 transactions for 12/07/20. Total proceeds and cost reported to the IRS.							
	2.000	62.14	10/19/20	55.24	...	6.90	1 of 2 - Sale ²⁵
	1.000	31.07	11/17/20	28.05	...	3.02	2 of 2 - Sale ²⁵
12/07/20	3.000	93.21	Various	83.29	...	9.92	Total of 2 transactions
DELTA AIR LINES, INC. / CUSIP: 247361702 / Symbol:							
10/23/20	2.900	96.89	09/16/20	100.00	...	-3.11	Sale ²⁵
DESKTOP METAL, INC. / CUSIP: 25058X105 / Symbol:							
3 transactions for 12/10/20. Total proceeds and cost reported to the IRS.							
	0.443	10.60	11/18/20	4.63	...	5.97	1 of 3 - Sale ²⁵
	7.000	168.00	11/18/20	73.27	...	94.73	2 of 3 - Sale ²⁵
	1.000	24.00	12/09/20	23.85	...	0.15	3 of 3 - Sale ²⁵
12/10/20	8.443	202.60	Various	101.75	...	100.85	Total of 3 transactions
DIAMONDPEAK HOLDINGS CORP. CLA SS A COMMON STOCK / CUSIP: 25280H100 / Symbol:							
2 transactions for 09/18/20. Total proceeds and cost reported to the IRS.							
	0.739	21.45	09/17/20	20.64	...	0.81	1 of 2 - Sale ²⁵
	10.000	290.00	09/17/20	279.36	...	10.64	2 of 2 - Sale ²⁵
09/18/20	10.739	311.45	Various	300.00	...	11.45	Total of 2 transactions
INFRACAP MLP ETF / CUSIP: 26923G772 / Symbol:							
3 transactions for 12/07/20. Total proceeds and cost reported to the IRS.							
	0.012	0.24	10/22/20	0.18	...	0.06	1 of 3 - Sale ²⁵
	0.988	20.41	10/22/20	15.06	...	5.35	2 of 3 - Sale ²⁵
	0.012	0.24	12/01/20	0.22	...	0.02	3 of 3 - Sale ²⁵
12/07/20	1.012	20.89	Various	15.46	...	5.43	Total of 3 transactions
ELECTRAMECCANICA VEHICLES CORP. LTD. COMMON STOCK / CUSIP: 284849205 / Symbol:							
7 transactions for 11/19/20. Total proceeds and cost reported to the IRS.							
	0.274	2.43	11/17/20	1.85	...	0.58	1 of 7 - Sale ²⁵
	14.726	130.99	11/17/20	99.40	...	31.59	2 of 7 - Sale ²⁵
	0.030	0.26	11/18/20	0.21	...	0.05	3 of 7 - Sale ²⁵
	0.444	3.95	11/18/20	3.10	...	0.85	4 of 7 - Sale ²⁵

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ELECTRAMECCANICA VEHICLES CORP . LTD. COMMON STOCK / CUSIP: 284849205 / Symbol: (cont'd)							
	0.807	7.18	11/18/20	5.75	...	1.43	5 of 7 - Sale ²⁵
	1.993	17.73	11/18/20	14.25	...	3.48	6 of 7 - Sale ²⁵
	21.000	186.79	11/18/20	146.69	...	40.10	7 of 7 - Sale ²⁵
11/19/20	39.274	349.33	Various	271.25	...	78.08	Total of 7 transactions
FS KKR CAPITAL CORP. COMMON STOCK / CUSIP: 302635206 / Symbol:							
12/07/20	1.000	18.89	10/22/20	15.55	...	3.34	Sale ²⁵
FACEBOOK, INC. CLASS A COMMON STOCK / CUSIP: 30303M102 / Symbol:							
12/03/20	0.999	285.91	09/01/20	300.00	...	-14.09	Sale ²⁵
FASTLY, INC. / CUSIP: 31188V100 / Symbol:							
3 transactions for 09/21/20. Total proceeds and cost reported to the IRS.							
	0.000	0.01	09/16/20	0.01	...	0.00	1 of 3 - Sale ²⁵
	0.210	18.46	09/16/20	17.34	...	1.12	2 of 3 - Sale ²⁵
	1.000	87.94	09/16/20	82.65	...	5.29	3 of 3 - Sale ²⁵
09/21/20	1.210	106.41	Various	100.00	...	6.41	Total of 3 transactions
11/19/20	2.000	160.60	11/13/20	159.00	...	1.60	Sale ²⁵
	Security total:	267.01		259.00	...	8.01	
FIRST TRUST EXCHANGE-TRADED FUND VI MULTI-ASSET DIVERSIFIED INCOME INDEX FUND / CUSIP: 33738R100 / Symbol:							
2 transactions for 12/07/20. Total proceeds and cost reported to the IRS.							
	1.000	15.34	10/22/20	13.96	...	1.38	1 of 2 - Sale ²⁵
	0.005	0.07	12/01/20	0.07	...	0.00	2 of 2 - Sale ²⁵
12/07/20	1.005	15.41	Various	14.03	...	1.38	Total of 2 transactions
FISKER INC. / CUSIP: 33813J106 / Symbol:							
2 transactions for 11/16/20. Total proceeds and cost reported to the IRS.							
	0.286	4.90	10/15/20	4.00	...	0.90	1 of 2 - Sale ²⁵
	14.000	239.96	10/15/20	196.00	...	43.96	2 of 2 - Sale ²⁵
11/16/20	14.286	244.86	Various	200.00	...	44.86	Total of 2 transactions

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FLYING EAGLE ACQUISITION CORP. / CUSIP: 34407Y103 / Symbol:							
3 transactions for 10/09/20. Total proceeds and cost reported to the IRS.							
	0.737	10.04	09/17/20	9.52	...	0.52	1 of 3 - Sale ²⁵
	0.729	10.07	09/17/20	9.44	...	0.63	2 of 3 - Sale ²⁵
	6.263	85.30	09/17/20	81.04	...	4.26	3 of 3 - Sale ²⁵
10/09/20	7.729	105.41	Various	100.00	...	5.41	Total of 3 transactions
FORESIGHT AUTONOMOUS HOLDINGS LTD. AMERICAN DEPOSITARY SHARE S / CUSIP: 345523104 / Symbol:							
11 transactions for 12/03/20. Total proceeds and cost reported to the IRS.							
	54.354	64.24	09/29/20	50.00	...	14.24	1 of 11 - Sale ²⁵
	0.336	0.40	10/15/20	0.38	...	0.02	2 of 11 - Sale ²⁵
	0.395	0.47	10/15/20	0.45	...	0.02	3 of 11 - Sale ²⁵
	1.219	1.44	10/15/20	1.33	...	0.11	4 of 11 - Sale ²⁵
	6.973	8.24	10/15/20	7.67	...	0.57	5 of 11 - Sale ²⁵
	37.118	43.86	10/15/20	42.31	...	1.55	6 of 11 - Sale ²⁵
	49.882	58.86	10/15/20	56.86	...	2.00	7 of 11 - Sale ²⁵
	0.028	0.03	10/22/20	0.03	...	0.00	8 of 11 - Sale ²⁵
	6.000	7.41	10/22/20	6.03	...	1.38	9 of 11 - Sale ²⁵
	43.723	51.58	10/22/20	43.94	...	7.64	10 of 11 - Sale ²⁵
	4.000	4.94	10/30/20	3.64	...	1.30	11 of 11 - Sale ²⁵
12/03/20	204.028	241.47	Various	212.64	...	28.83	Total of 11 transactions
12/03/20	90.000	111.14	11/23/20	123.93	1.42 W	-11.37	Sale ²⁵
	Security total:	352.61		336.57	1.42 W	17.46	
FORTRESS BIOTECH, INC. COMMON STOCK / CUSIP: 34960Q109 / Symbol:							
12/04/20	5.000	13.95	11/30/20	13.60	...	0.35	Sale ²⁵
FUELCELL ENERGY, INC. COMMON S TOCK / CUSIP: 35952H601 / Symbol:							
4 transactions for 10/19/20. Total proceeds and cost reported to the IRS.							
	0.130	0.31	09/02/20	0.37	...	-0.06	1 of 4 - Sale ²⁵
	99.023	234.66	10/16/20	261.42	...	-26.76	2 of 4 - Sale ²⁵
	0.958	2.28	10/16/20	3.00	...	-0.72	3 of 4 - Sale ²⁵
	0.019	0.05	10/16/20	0.06	...	-0.01	4 of 4 - Sale ²⁵
10/19/20	100.130	237.30	Various	264.85	...	-27.55	Total of 4 transactions

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FUELCELL ENERGY, INC. COMMON S TOCK / CUSIP: 35952H601 / Symbol: (cont'd)							
2 transactions for 10/19/20. Total proceeds and cost reported to the IRS.							
	34.828	82.54	09/02/20	99.57	0.47 W	-16.56	1 of 2 - Sale ²⁵
	0.019	0.05	09/02/20	0.06	0.01 W	0.00	2 of 2 - Sale ²⁵
10/19/20	34.847	82.59	Various	99.63	0.48 W	-16.56	Total of 2 transactions
	Security total:	319.89		364.48	0.48 W	-44.11	
FS KKR CAPITAL CORP. II / CUSIP: 35952V303 / Symbol:							
12/07/20	1.000	18.43	10/22/20	15.20	...	3.23	Sale ²⁵
FUBOTV INC. / CUSIP: 35953D104 / Symbol:							
7 transactions for 12/30/20. Total proceeds and cost reported to the IRS.							
	0.136	4.96	11/23/20	3.38	...	1.58	1 of 7 - Sale ²⁵
	0.668	24.20	11/23/20	16.62	...	7.58	2 of 7 - Sale ²⁵
	3.899	141.21	11/23/20	100.00	...	41.21	3 of 7 - Sale ²⁵
	3.646	132.05	12/07/20	100.00	...	32.05	4 of 7 - Sale ²⁵
	0.002	0.08	12/08/20	0.06	...	0.02	5 of 7 - Sale ²⁵
	0.785	28.44	12/08/20	21.99	...	6.45	6 of 7 - Sale ²⁵
	1.000	36.22	12/08/20	27.95	...	8.27	7 of 7 - Sale ²⁵
12/30/20	10.136	367.16	Various	270.00	...	97.16	Total of 7 transactions
GENERAL ELECTRIC COMPANY / CUSIP: 369604103 / Symbol:							
3 transactions for 08/24/20. Total proceeds and cost reported to the IRS.							
	0.019	0.13	04/24/20	0.13	...	0.00	1 of 3 - Sale ²⁵
	12.981	85.58	04/24/20	85.54	...	0.04	2 of 3 - Sale ²⁵
	0.019	0.13	07/28/20	0.13	...	0.00	3 of 3 - Sale ²⁵
08/24/20	13.019	85.84	Various	85.80	...	0.04	Total of 3 transactions
GLADSTONE COMMERCIAL CORPORATI ON REAL ESTATE INVESTMENT TRUS T / CUSIP: 376536108 / Symbol:							
3 transactions for 12/09/20. Total proceeds and cost reported to the IRS.							
	0.007	0.13	11/02/20	0.11	...	0.02	1 of 3 - Sale ²⁵
	0.993	18.19	11/02/20	16.24	...	1.95	2 of 3 - Sale ²⁵
	0.007	0.13	12/01/20	0.13	...	0.00	3 of 3 - Sale ²⁵
12/09/20	1.007	18.45	Various	16.48	...	1.97	Total of 3 transactions

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GLADSTONE INVESTMENT CORPORATI ON BUSINESS DEVELOPMENT COMPAN Y / CUSIP: 376546107 / Symbol:							
4 transactions for 12/09/20. Total proceeds and cost reported to the IRS.							
	0.021	0.21	11/02/20	0.18	...	0.03	1 of 4 - Sale ²⁵
	0.979	9.87	11/02/20	8.27	...	1.60	2 of 4 - Sale ²⁵
	2.000	20.17	11/03/20	17.22	...	2.95	3 of 4 - Sale ²⁵
	0.021	0.21	12/01/20	0.21	...	0.00	4 of 4 - Sale ²⁵
12/09/20	3.021	30.46	Various	25.88	...	4.58	Total of 4 transactions
GLOBAL X LITHIUM & BATTERY TEC H ETF / CUSIP: 37954Y855 / Symbol:							
10/07/20	7.638	316.66	09/29/20	300.00	...	16.66	Sale ²⁵
2 transactions for 12/14/20. Total proceeds and cost reported to the IRS.							
	0.003	0.19	11/16/20	0.17	...	0.02	1 of 2 - Sale ²⁵
	0.792	43.49	11/16/20	39.83	...	3.66	2 of 2 - Sale ²⁵
12/14/20	0.796	43.68	Various	40.00	...	3.68	Total of 2 transactions
	Security total:	360.34		340.00	...	20.34	
GOGO INC. COMMON STOCK / CUSIP: 38046C109 / Symbol:							
8 transactions for 09/01/20. Total proceeds and cost reported to the IRS.							
	9.074	63.45	08/28/20	50.00	...	13.45	1 of 8 - Sale ²⁵
	0.006	0.04	09/01/20	0.04	...	0.00	2 of 8 - Sale ²⁵
	0.009	0.06	09/01/20	0.05	...	0.01	3 of 8 - Sale ²⁵
	0.009	0.06	09/01/20	0.05	...	0.01	4 of 8 - Sale ²⁵
	0.117	0.82	09/01/20	0.74	...	0.08	5 of 8 - Sale ²⁵
	7.000	49.14	09/01/20	44.39	...	4.75	6 of 8 - Sale ²⁵
	11.470	79.94	09/01/20	72.72	...	7.22	7 of 8 - Sale ²⁵
	12.369	86.49	09/01/20	78.42	...	8.07	8 of 8 - Sale ²⁵
09/01/20	40.054	280.00	Various	246.41	...	33.59	Total of 8 transactions
8 transactions for 09/08/20. Total proceeds and cost reported to the IRS.							
	0.008	0.07	09/01/20	0.05	...	0.02	1 of 8 - Sale ²⁵
	0.025	0.23	09/01/20	0.16	...	0.07	2 of 8 - Sale ²⁵
	0.178	1.64	09/01/20	1.13	...	0.51	3 of 8 - Sale ²⁵
	0.275	2.52	09/01/20	1.75	...	0.77	4 of 8 - Sale ²⁵
	0.363	3.33	09/01/20	2.30	...	1.03	5 of 8 - Sale ²⁵
	0.500	4.59	09/01/20	3.30	...	1.29	6 of 8 - Sale ²⁵

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Account 752999755

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

03/22/2021 AMENDED

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GOGO INC. COMMON STOCK / CUSIP: 38046C109 / Symbol: (cont'd)							
	6.000	55.09	09/01/20	38.20	...	16.89	7 of 8 - Sale ²⁵
	0.003	0.03	09/02/20	0.03	...	0.00	8 of 8 - Sale ²⁵
09/08/20	7.352	67.50	Various	46.92	...	20.58	Total of 8 transactions
09/08/20	2.014	18.50	09/02/20	18.67	0.17 W	0.00	Sale ²⁵
09/09/20	10.928	101.55	09/02/20	101.30	...	0.25	Sale ²⁵
3 transactions for 10/19/20. Total proceeds and cost reported to the IRS.							
	2.014	23.16	09/16/20	23.19	...	-0.03	1 of 3 - Sale ²⁵
	0.749	8.53	09/16/20	8.56	...	-0.03	2 of 3 - Sale ²⁵
	5.986	68.84	09/16/20	68.42	...	0.42	3 of 3 - Sale ²⁵
10/19/20	8.749	100.53	Various	100.17	...	0.36	Total of 3 transactions
	Security total:	568.08		513.47	0.17 W	54.78	
GOODRX HOLDINGS, INC. CLASS A COMMON STOCK / CUSIP: 38246G108 / Symbol:							
7 transactions for 11/23/20. Total proceeds and cost reported to the IRS.							
	0.318	12.11	11/18/20	10.72	...	1.39	1 of 7 - Sale ²⁵
	0.647	24.66	11/18/20	21.82	...	2.84	2 of 7 - Sale ²⁵
	2.000	76.25	11/18/20	67.46	...	8.79	3 of 7 - Sale ²⁵
	0.571	21.77	11/19/20	21.24	...	0.53	4 of 7 - Sale ²⁵
	3.984	151.89	11/19/20	148.76	...	3.13	5 of 7 - Sale ²⁵
	10.000	381.24	11/19/20	376.45	...	4.79	6 of 7 - Sale ²⁵
	2.798	106.67	11/19/20	100.00	...	6.67	7 of 7 - Sale ²⁵
11/23/20	20.318	774.59	Various	746.45	...	28.14	Total of 7 transactions
GOPRO, INC. CLASS A COMMON STO CK / CUSIP: 38268T103 / Symbol:							
08/17/20	15.000	72.75	04/29/20	53.53	...	19.22	Sale ²⁵
INOVIO PHARMACEUTICALS, INC. C OMMON STOCK / CUSIP: 45773H201 / Symbol:							
2 transactions for 09/16/20. Total proceeds and cost reported to the IRS.							
	10.000	144.00	04/29/20	137.19	...	6.81	1 of 2 - Sale ²⁵
	3.415	49.18	08/25/20	43.00	...	6.18	2 of 2 - Sale ²⁵
09/16/20	13.415	193.18	Various	180.19	...	12.99	Total of 2 transactions

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INVITAE CORPORATION / CUSIP: 46185L103 / Symbol:							
3 transactions for 11/23/20. Total proceeds and cost reported to the IRS.							
	0.091	4.67	11/06/20	3.91	...	0.76	1 of 3 - Sale ²⁵
	0.332	17.03	11/06/20	14.24	...	2.79	2 of 3 - Sale ²⁵
	1.909	97.79	11/06/20	81.85	...	15.94	3 of 3 - Sale ²⁵
11/23/20	2.332	119.49	Various	100.00	...	19.49	Total of 3 transactions
JUMIA TECHNOLOGIES AG / CUSIP: 48138M105 / Symbol:							
3 transactions for 10/09/20. Total proceeds and cost reported to the IRS.							
	0.010	0.10	10/08/20	0.10	...	0.00	1 of 3 - Sale ²⁵
	0.025	0.26	10/08/20	0.25	...	0.01	2 of 3 - Sale ²⁵
	5.000	52.62	10/08/20	50.65	...	1.97	3 of 3 - Sale ²⁵
10/09/20	5.035	52.98	Various	51.00	...	1.98	Total of 3 transactions
14 transactions for 11/20/20. Total proceeds and cost reported to the IRS.							
	0.835	20.92	11/04/20	14.73	...	6.19	1 of 14 - Sale ²⁵
	1.999	50.07	11/04/20	35.27	...	14.80	2 of 14 - Sale ²⁵
	6.000	150.30	11/04/20	105.96	...	44.34	3 of 14 - Sale ²⁵
	3.036	76.06	11/09/20	50.00	...	26.06	4 of 14 - Sale ²⁵
	0.012	0.30	11/10/20	0.15	...	0.15	5 of 14 - Sale ²⁵
	0.383	9.59	11/10/20	4.75	...	4.84	6 of 14 - Sale ²⁵
	3.000	75.15	11/10/20	37.10	...	38.05	7 of 14 - Sale ²⁵
	0.004	0.09	11/12/20	0.05	...	0.04	8 of 14 - Sale ²⁵
	0.271	6.80	11/12/20	3.77	...	3.03	9 of 14 - Sale ²⁵
	7.000	175.35	11/12/20	97.18	...	78.17	10 of 14 - Sale ²⁵
	0.107	2.68	11/13/20	1.47	...	1.21	11 of 14 - Sale ²⁵
	7.181	179.89	11/13/20	98.53	...	81.36	12 of 14 - Sale ²⁵
	0.645	16.16	11/17/20	11.26	...	4.90	13 of 14 - Sale ²⁵
	2.526	63.27	11/17/20	44.28	...	18.99	14 of 14 - Sale ²⁵
11/20/20	33.000	826.63	Various	504.50	...	322.13	Total of 14 transactions
3 transactions for 11/24/20. Total proceeds and cost reported to the IRS.							
	1.351	40.63	11/17/20	23.69	...	16.94	1 of 3 - Sale ²⁵
	24.000	685.46	11/17/20	420.77	...	264.69	2 of 3 - Sale ²⁵
	8.000	228.49	11/19/20	188.65	...	39.84	3 of 3 - Sale ²⁵
11/24/20	33.351	954.58	Various	633.11	...	321.47	Total of 3 transactions

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JUMIA TECHNOLOGIES AG / CUSIP: 48138M105 / Symbol: (cont'd)							
3 transactions for 12/14/20. Total proceeds and cost reported to the IRS.							
	5.000	183.67	11/27/20	178.59	...	5.08	1 of 3 - Sale ²⁵
	0.500	18.37	12/02/20	14.71	...	3.66	2 of 3 - Sale ²⁵
	1.000	36.73	12/02/20	29.40	...	7.33	3 of 3 - Sale ²⁵
12/14/20	6.500	238.77	Various	222.70	...	16.07	Total of 3 transactions
5 transactions for 12/14/20. Total proceeds and cost reported to the IRS.							
	0.117	4.32	11/27/20	4.47	0.15 W	0.00	1 of 5 - Sale ²⁵
	0.494	18.14	11/27/20	18.91	0.77 W	0.00	2 of 5 - Sale ²⁵
	0.006	0.23	11/27/20	0.25	0.02 W	0.00	3 of 5 - Sale ²⁵
	0.110	4.05	11/27/20	4.35	0.30 W	0.00	4 of 5 - Sale ²⁵
	1.890	69.41	11/27/20	72.17	2.76 W	0.00	5 of 5 - Sale ²⁵
12/14/20	2.617	96.15	Various	100.15	4.00 W	0.00	Total of 5 transactions
	Security total:	2,169.11		1,511.46	4.00 W	661.65	
KE HOLDINGS INC. AMERICAN DEPO SITARY SHARES (EACH REPRESENTING THREE CLASS A ORDINARY SHAR / CUSIP: 482497104 / Symbol:							
11/24/20	0.569	36.32	11/18/20	36.28	...	0.04	Sale ²⁵
11/24/20	0.151	9.59	11/18/20	9.61	0.02 W	0.00	Sale ²⁵
7 transactions for 11/25/20. Total proceeds and cost reported to the IRS.							
	0.288	18.12	11/18/20	18.17	...	-0.05	1 of 7 - Sale ²⁵
	0.001	0.07	11/18/20	0.07	...	0.00	2 of 7 - Sale ²⁵
	0.151	9.51	11/18/20	9.42	...	0.09	3 of 7 - Sale ²⁵
	0.291	18.38	11/18/20	18.16	...	0.22	4 of 7 - Sale ²⁵
	0.711	44.91	11/18/20	44.39	...	0.52	5 of 7 - Sale ²⁵
	0.559	35.15	11/19/20	32.99	...	2.16	6 of 7 - Sale ²⁵
	1.153	72.57	11/19/20	67.37	...	5.20	7 of 7 - Sale ²⁵
11/25/20	3.153	198.71	Various	190.57	...	8.14	Total of 7 transactions
11/25/20	0.848	53.56	11/18/20	54.11	0.55 W	0.00	Sale ²⁵
	Security total:	298.18		290.57	0.57 W	8.18	
LI AUTO INC. AMERICAN DEPOSITARY SHARES / CUSIP: 50202M102 / Symbol:							
4 transactions for 11/13/20. Total proceeds and cost reported to the IRS.							
	0.014	0.53	11/12/20	0.42	...	0.11	1 of 4 - Sale ²⁵
	0.139	5.28	11/12/20	4.18	...	1.10	2 of 4 - Sale ²⁵

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LI AUTO INC. AMERICAN DEPOSITA RY SHARES / CUSIP: 50202M102 / Symbol: (cont'd)							
	0.513	19.52	11/12/20	15.43	...	4.09	3 of 4 - Sale ²⁵
	6.000	228.15	11/12/20	179.97	...	48.18	4 of 4 - Sale ²⁵
11/13/20	6.666	253.48	Various	200.00	...	53.48	Total of 4 transactions
11/17/20	10.000	363.20	11/16/20	336.50	...	26.70	Sale ²⁵
	Security total:	616.68		536.50	...	80.18	
LANCADIA HOLDINGS II, INC. CL ASS A COMMON STOCK / CUSIP: 51476X105 / Symbol:							
12/03/20	0.306	6.11	11/27/20	6.00	...	0.11	Sale ²⁵
LEVI STRAUSS & CO. CLASS A COM MON STOCK / CUSIP: 52736R102 / Symbol:							
08/25/20	3.000	38.22	04/27/20	38.25	...	-0.03	Sale ²⁵
LIVENT CORPORATION / CUSIP: 53814L108 / Symbol:							
2 transactions for 11/05/20. Total proceeds and cost reported to the IRS.							
	0.015	0.17	10/12/20	0.17	...	0.00	1 of 2 - Sale ²⁵
	4.348	51.13	10/12/20	49.83	...	1.30	2 of 2 - Sale ²⁵
11/05/20	4.363	51.30	Various	50.00	...	1.30	Total of 2 transactions
LIVONGO HEALTH, INC. COMMON ST OCK / CUSIP: 539183103 / Symbol:							
09/22/20	1.000	134.54	09/16/20	124.72	...	9.82	Sale ²⁵
LONGVIEW ACQUISITION CORP. / CUSIP: 543195101 / Symbol:							
6 transactions for 11/25/20. Total proceeds and cost reported to the IRS.							
	0.065	1.11	11/23/20	0.93	...	0.18	1 of 6 - Sale ²⁵
	0.122	2.08	11/23/20	1.74	...	0.34	2 of 6 - Sale ²⁵
	0.202	3.45	11/23/20	2.88	...	0.57	3 of 6 - Sale ²⁵
	1.000	17.05	11/23/20	14.45	...	2.60	4 of 6 - Sale ²⁵
	1.730	29.50	11/23/20	25.00	...	4.50	5 of 6 - Sale ²⁵
	11.799	201.18	11/24/20	200.00	...	1.18	6 of 6 - Sale ²⁵
11/25/20	14.919	254.37	Various	245.00	...	9.37	Total of 6 transactions
LOOP INDUSTRIES, INC. COMMON S TOCK / CUSIP: 543518104 / Symbol:							
11/05/20	7.681	48.20	10/22/20	50.00	...	-1.80	Sale ²⁵

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LORDSTOWN MOTORS CORP. CLASS A COMMON STOCK / CUSIP: 54405Q100 / Symbol:							
8 transactions for 11/12/20. Total proceeds and cost reported to the IRS.							
	0.001	0.01	10/27/20	0.01	...	0.00	1 of 8 - Sale ²⁵
	0.455	7.71	10/27/20	7.60	...	0.11	2 of 8 - Sale ²⁵
	2.538	42.98	10/27/20	42.39	...	0.59	3 of 8 - Sale ²⁵
	5.000	84.67	10/30/20	72.00	...	12.67	4 of 8 - Sale ²⁵
	0.145	2.46	11/02/20	2.00	...	0.46	5 of 8 - Sale ²⁵
	0.008	0.14	11/03/20	0.11	...	0.03	6 of 8 - Sale ²⁵
	6.969	118.01	11/03/20	100.00	...	18.01	7 of 8 - Sale ²⁵
	7.339	124.30	11/03/20	99.89	...	24.41	8 of 8 - Sale ²⁵
11/12/20	22.455	380.28	Various	324.00	...	56.28	Total of 8 transactions
MAIN STREET CAPITAL CORPORATIO N / CUSIP: 56035L104 / Symbol:							
12/07/20	1.000	31.71	11/02/20	28.22	...	3.49	Sale ²⁵
MARATHON PATENT GROUP, INC. CO MMON STOCK / CUSIP: 56585W401 / Symbol:							
3 transactions for 12/23/20. Total proceeds and cost reported to the IRS.							
	1.000	12.94	12/01/20	5.89	...	7.05	1 of 3 - Sale ²⁵
	1.000	12.93	12/14/20	5.62	...	7.31	2 of 3 - Sale ²⁵
	1.000	12.94	12/17/20	10.09	...	2.85	3 of 3 - Sale ²⁵
12/23/20	3.000	38.81	Various	21.60	...	17.21	Total of 3 transactions
MEDICAL PROPERTIES TRUST, INC. / CUSIP: 58463J304 / Symbol:							
12/07/20	1.000	20.56	11/16/20	19.80	...	0.76	Sale ²⁵
MICROSOFT CORPORATION COMMON S TOCK / CUSIP: 594918104 / Symbol:							
2 transactions for 09/28/20. Total proceeds and cost reported to the IRS.							
	0.149	31.11	09/16/20	30.55	...	0.56	1 of 2 - Sale ²⁵
	1.000	209.23	09/16/20	205.45	...	3.78	2 of 2 - Sale ²⁵
09/28/20	1.149	240.34	Various	236.00	...	4.34	Total of 2 transactions
MICROVISION, INC. COMMON STOCK / CUSIP: 594960304 / Symbol:							
3 transactions for 10/09/20. Total proceeds and cost reported to the IRS.							
	0.041	0.11	09/29/20	0.08	...	0.03	1 of 3 - Sale ²⁵
	0.093	0.23	09/29/20	0.18	...	0.05	2 of 3 - Sale ²⁵

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MICROVISION, INC. COMMON STOCK / CUSIP: 594960304 / Symbol: (cont'd)							
	18.000	46.08	09/29/20	34.74	...	11.34	3 of 3 - Sale ²⁵
10/09/20	18.135	46.42	Various	35.00	...	11.42	Total of 3 transactions
12/07/20	1.000	2.74	11/27/20	2.22	...	0.52	Sale ²⁵
	Security total:	49.16		37.22	...	11.94	
MICRON TECHNOLOGY, INC. COMMON STOCK / CUSIP: 595112103 / Symbol:							
10/08/20	2.000	98.73	09/29/20	102.16	...	-3.43	Sale ²⁵
MULTIPLAN CORPORATION / CUSIP: 62548M100 / Symbol:							
11/24/20	2.790	20.91	09/30/20	29.55	8.64 W	0.00	Sale ²⁵
	5 transactions for 12/09/20. Total proceeds and cost reported to the IRS.						
	7.210	63.24	09/30/20	76.35	13.11 W	0.00	1 of 5 - Sale ²⁵
	0.194	1.70	10/09/20	1.90	0.20 W	0.00	2 of 5 - Sale ²⁵
	3.998	35.06	10/09/20	39.10	4.04 W	0.00	3 of 5 - Sale ²⁵
	0.460	4.04	10/09/20	4.50	0.46 W	0.00	4 of 5 - Sale ²⁵
	13.137	115.22	10/09/20	128.42	13.20 W	0.00	5 of 5 - Sale ²⁵
12/09/20	25.000	219.26	Various	250.27	31.01 W	0.00	Total of 5 transactions
	21 transactions for 12/10/20. Total proceeds and cost reported to the IRS.						
	0.255	2.16	10/13/20	2.08	...	0.08	1 of 21 - Sale ²⁵
	11.991	101.44	10/13/20	97.92	...	3.52	2 of 21 - Sale ²⁵
	0.064	0.55	11/13/20	0.46	...	0.09	3 of 21 - Sale ²⁵
	0.194	1.65	11/13/20	1.41	...	0.24	4 of 21 - Sale ²⁵
	1.135	9.65	11/13/20	9.13	...	0.52	5 of 21 - Sale ²⁵
	0.460	3.91	11/13/20	3.32	...	0.59	6 of 21 - Sale ²⁵
	6.075	51.40	11/13/20	48.83	...	2.57	7 of 21 - Sale ²⁵
	3.998	33.96	11/13/20	28.91	...	5.05	8 of 21 - Sale ²⁵
	4.150	35.26	11/13/20	29.98	...	5.28	9 of 21 - Sale ²⁵
	6.077	51.62	11/17/20	51.29	...	0.33	10 of 21 - Sale ²⁵
	8.923	75.80	11/17/20	72.55	...	3.25	11 of 21 - Sale ²⁵
	0.007	0.06	12/01/20	0.06	...	0.00	12 of 21 - Sale ²⁵
	0.082	0.70	12/01/20	0.67	...	0.03	13 of 21 - Sale ²⁵
	0.019	0.17	12/01/20	0.14	...	0.03	14 of 21 - Sale ²⁵
	0.696	5.91	12/01/20	5.64	...	0.27	15 of 21 - Sale ²⁵
	1.650	14.14	12/01/20	12.26	...	1.88	16 of 21 - Sale ²⁵

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Robinhood Securities LLC

Account 752999755

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

03/22/2021 AMENDED

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MULTIPLAN CORPORATION / CUSIP: 62548M100 / Symbol: (cont'd)							
	1.212	10.29	12/01/20	8.31	...	1.98	17 of 21 - Sale ²⁵
	4.423	37.91	12/01/20	30.33	...	7.58	18 of 21 - Sale ²⁵
	2.606	22.33	12/02/20	26.90	...	-4.57	19 of 21 - Sale ²⁵
	0.184	1.58	12/02/20	1.90	...	-0.32	20 of 21 - Sale ²⁵
	6.118	52.43	12/02/20	46.71	...	5.72	21 of 21 - Sale ²⁵
12/10/20	60.321	512.92	Various	478.80	...	34.12	Total of 21 transactions
	<i>7 transactions for 12/10/20. Total proceeds and cost reported to the IRS.</i>						
	6.863	58.06	10/09/20	67.08	9.02 W	0.00	1 of 7 - Sale ²⁵
	5.635	47.67	10/13/20	48.00	0.33 W	0.00	2 of 7 - Sale ²⁵
	0.019	0.16	10/15/20	0.17	0.01 W	0.00	3 of 7 - Sale ²⁵
	10.982	92.91	10/15/20	99.83	6.92 W	0.00	4 of 7 - Sale ²⁵
	0.184	1.56	11/06/20	2.17	0.61 W	0.00	5 of 7 - Sale ²⁵
	2.606	22.04	11/06/20	30.69	8.65 W	0.00	6 of 7 - Sale ²⁵
	5.390	45.60	11/06/20	46.78	1.18 W	0.00	7 of 7 - Sale ²⁵
12/10/20	31.679	268.00	Various	294.72	26.72 W	0.00	Total of 7 transactions
	<i>3 transactions for 12/11/20. Total proceeds and cost reported to the IRS.</i>						
	3.215	26.81	12/02/20	24.55	...	2.26	1 of 3 - Sale ²⁵
	5.390	44.95	12/02/20	38.94	...	6.01	2 of 3 - Sale ²⁵
	6.756	56.35	12/02/20	47.32	...	9.03	3 of 3 - Sale ²⁵
12/11/20	15.361	128.11	Various	110.81	...	17.30	Total of 3 transactions
	Security total:	1,149.20		1,164.15	66.37 W	51.42	
NIO INC. AMERICAN DEPOSITARY S HARES, EACH REPRESENTING ONE CLASS A ORDINARY SHARE / CUSIP: 62914V106 / Symbol:							
	<i>9 transactions for 09/15/20. Total proceeds and cost reported to the IRS.</i>						
	0.119	2.34	08/31/20	2.32	...	0.02	1 of 9 - Sale ²⁵
	0.086	1.69	08/31/20	1.65	...	0.04	2 of 9 - Sale ²⁵
	0.140	2.75	08/31/20	2.68	...	0.07	3 of 9 - Sale ²⁵
	4.999	98.33	08/31/20	97.68	...	0.65	4 of 9 - Sale ²⁵
	0.807	15.88	08/31/20	13.92	...	1.96	5 of 9 - Sale ²⁵
	4.999	98.33	08/31/20	95.67	...	2.66	6 of 9 - Sale ²⁵
	10.374	204.05	08/31/20	200.00	...	4.05	7 of 9 - Sale ²⁵
	4.993	98.21	08/31/20	86.08	...	12.13	8 of 9 - Sale ²⁵
	0.468	9.20	09/04/20	8.00	...	1.20	9 of 9 - Sale ²⁵
09/15/20	26.985	530.78	Various	508.00	...	22.78	Total of 9 transactions

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(continued)

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NIO INC. AMERICAN DEPOSITARY S HARES, EACH REPRESENTING ONE CLASS A ORDINARY SHARE / CUSIP: 62914V106 / Symbol: (cont'd)							
09/15/20	14.822	291.55	09/01/20	300.00	8.45 W	0.00	Sale ²⁵
	2 transactions for 10/08/20. Total proceeds and cost reported to the IRS.						
	1.000	21.89	09/15/20	20.30	...	1.59	1 of 2 - Sale ²⁵
	1.000	21.92	09/15/20	20.30	...	1.62	2 of 2 - Sale ²⁵
10/08/20	2.000	43.81	Various	40.60	...	3.21	Total of 2 transactions
	4 transactions for 10/15/20. Total proceeds and cost reported to the IRS.						
	12.822	355.43	09/15/20	260.29	...	95.14	1 of 4 - Sale ²⁵
	35.178	975.14	09/15/20	694.06	...	281.08	2 of 4 - Sale ²⁵
	5.247	145.45	09/16/20	100.00	...	45.45	3 of 4 - Sale ²⁵
	7.753	214.91	10/14/20	197.08	...	17.83	4 of 4 - Sale ²⁵
10/15/20	61.000	1,690.93	Various	1,251.43	...	439.50	Total of 4 transactions
	9 transactions for 10/30/20. Total proceeds and cost reported to the IRS.						
	0.115	3.47	10/14/20	2.92	...	0.55	1 of 9 - Sale ²⁵
	0.001	0.03	10/15/20	0.03	...	0.00	2 of 9 - Sale ²⁵
	0.250	7.54	10/15/20	6.99	...	0.55	3 of 9 - Sale ²⁵
	0.295	8.91	10/15/20	8.09	...	0.82	4 of 9 - Sale ²⁵
	1.000	30.18	10/15/20	27.98	...	2.20	5 of 9 - Sale ²⁵
	6.989	210.93	10/15/20	191.91	...	19.02	6 of 9 - Sale ²⁵
	10.000	301.79	10/15/20	280.78	...	21.01	7 of 9 - Sale ²⁵
	10.000	301.79	10/15/20	280.10	...	21.69	8 of 9 - Sale ²⁵
	1.350	40.73	10/19/20	37.11	...	3.62	9 of 9 - Sale ²⁵
10/30/20	30.000	905.37	Various	835.91	...	69.46	Total of 9 transactions
	Security total:	3,462.44		2,935.94	8.45 W	534.95	
NANO DIMENSION LTD. AMERICAN DEPOSITARY SHARES / CUSIP: 63008G203 / Symbol:							
	5 transactions for 10/16/20. Total proceeds and cost reported to the IRS.						
	0.361	1.93	10/15/20	1.48	...	0.45	1 of 5 - Sale ²⁵
	0.420	2.25	10/15/20	1.72	...	0.53	2 of 5 - Sale ²⁵
	0.683	3.43	10/15/20	2.81	...	0.62	3 of 5 - Sale ²⁵
	23.243	124.58	10/15/20	95.71	...	28.87	4 of 5 - Sale ²⁵
	23.977	128.52	10/15/20	98.28	...	30.24	5 of 5 - Sale ²⁵
10/16/20	48.683	260.71	Various	200.00	...	60.71	Total of 5 transactions

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Account 752999755

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

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NANO DIMENSION LTD. AMERICAN D EPOSITARY SHARES / CUSIP: 63008G203 / Symbol: (cont'd)							
<i>16 transactions for 11/17/20. Total proceeds and cost reported to the IRS.</i>							
	0.011	0.05	10/19/20	0.05	...	0.00	1 of 16 - Sale ²⁵
	0.000	0.00	10/19/20	0.00	...	0.00	2 of 16 - Zero proceeds / negative sale ²⁵
	2.000	9.10	10/19/20	8.95	...	0.15	3 of 16 - Sale ²⁵
	30.000	136.50	10/20/20	107.34	...	29.16	4 of 16 - Sale ²⁵
	0.086	0.39	10/22/20	0.33	...	0.06	5 of 16 - Sale ²⁵
	2.000	9.10	10/22/20	7.67	...	1.43	6 of 16 - Sale ²⁵
	12.926	58.81	10/22/20	50.00	...	8.81	7 of 16 - Sale ²⁵
	15.000	68.25	10/23/20	60.72	...	7.53	8 of 16 - Sale ²⁵
	0.245	1.11	10/26/20	0.79	...	0.32	9 of 16 - Sale ²⁵
	8.988	40.89	10/26/20	29.21	...	11.68	10 of 16 - Sale ²⁵
	6.817	31.02	10/27/20	22.00	...	9.02	11 of 16 - Sale ²⁵
	10.000	45.50	10/30/20	29.50	...	16.00	12 of 16 - Sale ²⁵
	1.721	7.83	11/02/20	5.00	...	2.83	13 of 16 - Sale ²⁵
	0.040	0.18	11/03/20	0.12	...	0.06	14 of 16 - Sale ²⁵
	16.584	75.45	11/03/20	49.88	...	25.57	15 of 16 - Sale ²⁵
	15.593	70.95	11/04/20	46.00	...	24.95	16 of 16 - Sale ²⁵
11/17/20	122.011	555.13	Various	417.56	...	137.57	Total of 16 transactions
12/04/20	1.000	7.81	12/03/20	7.49	...	0.32	Sale ²⁵
	Security total:	823.65		625.05	...	198.60	
NETAPP, INC. COMMON STOCK / CUSIP: 64110D104 / Symbol:							
09/02/20	1.000	47.33	08/31/20	47.18	...	0.15	Sale ²⁵
NETFLIX, INC. COMMON STOCK / CUSIP: 64110L106 / Symbol:							
<i>2 transactions for 10/12/20. Total proceeds and cost reported to the IRS.</i>							
	0.202	111.25	09/01/20	112.00	...	-0.75	1 of 2 - Sale ²⁵
	0.102	56.19	09/01/20	56.00	...	0.19	2 of 2 - Sale ²⁵
10/12/20	0.305	167.44	Various	168.00	...	-0.56	Total of 2 transactions

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NIKOLA CORPORATION COMMON STOC K / CUSIP: 654110105 / Symbol:							
<i>5 transactions for 09/08/20. Total proceeds and cost reported to the IRS.</i>							
	0.044	2.10	08/31/20	1.86	...	0.24	1 of 5 - Sale ²⁵
	0.370	17.86	08/31/20	15.80	...	2.06	2 of 5 - Sale ²⁵
	2.000	96.42	08/31/20	82.34	...	14.08	3 of 5 - Sale ²⁵
	0.216	10.42	09/01/20	8.88	...	1.54	4 of 5 - Sale ²⁵
	1.000	48.21	09/01/20	41.12	...	7.09	5 of 5 - Sale ²⁵
09/08/20	3.630	175.01	Various	150.00	...	25.01	Total of 5 transactions
NORTHERN GENESIS ACQUISITION C ORP. / CUSIP: 66516T104 / Symbol:							
12/21/20	1.000	14.91	11/25/20	11.40	...	3.51	Sale ²⁵
12/21/20	3.000	44.74	12/07/20	48.06	3.32 W	0.00	Sale ²⁵
	Security total:	59.65		59.46	3.32 W	3.51	
NOVAVAX, INC. COMMON STOCK / CUSIP: 670002401 / Symbol:							
<i>2 transactions for 11/27/20. Total proceeds and cost reported to the IRS.</i>							
	0.682	83.99	10/13/20	81.08	...	2.91	1 of 2 - Sale ²⁵
	1.000	122.85	10/13/20	118.92	...	3.93	2 of 2 - Sale ²⁵
11/27/20	1.682	206.84	Various	200.00	...	6.84	Total of 2 transactions
NVIDIA CORPORATION COMMON STOC K / CUSIP: 67066G104 / Symbol:							
<i>2 transactions for 10/12/20. Total proceeds and cost reported to the IRS.</i>							
	0.181	102.44	09/01/20	100.00	...	2.44	1 of 2 - Sale ²⁵
	0.174	98.29	09/02/20	100.00	...	-1.71	2 of 2 - Sale ²⁵
10/12/20	0.355	200.73	Various	200.00	...	0.73	Total of 2 transactions
ORCHARD THERAPEUTICS PLC AMERI CAN DEPOSITARY SHARES / CUSIP: 68570P101 / Symbol:							
<i>2 transactions for 12/01/20. Total proceeds and cost reported to the IRS.</i>							
	2.000	9.64	08/25/20	13.85	...	-4.21	1 of 2 - Sale ²⁵
	0.888	4.31	08/25/20	6.15	...	-1.84	2 of 2 - Sale ²⁵
12/01/20	2.888	13.95	Various	20.00	...	-6.05	Total of 2 transactions

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ORGANOVO HOLDINGS, INC. COMMON STOCK / CUSIP: 68620A203 / Symbol:							
2 transactions for 10/08/20. Total proceeds and cost reported to the IRS.							
	1.000	8.73	09/28/20	7.08	...	1.65	1 of 2 - Sale ²⁵
	16.000	139.52	09/28/20	113.20	...	26.32	2 of 2 - Sale ²⁵
10/08/20	17.000	148.25	Various	120.28	...	27.97	Total of 2 transactions
10/09/20	0.951	8.45	09/28/20	6.72	...	1.73	Sale ²⁵
	Security total:	156.70		127.00	...	29.70	
PACIFIC BIOSCIENCES OF CALIFOR NIA, INC. COMMON STOCK / CUSIP: 69404D108 / Symbol:							
3 transactions for 10/08/20. Total proceeds and cost reported to the IRS.							
	0.251	3.14	09/29/20	2.45	...	0.69	1 of 3 - Sale ²⁵
	0.246	3.14	09/29/20	2.40	...	0.74	2 of 3 - Sale ²⁵
	9.749	122.06	09/29/20	95.15	...	26.91	3 of 3 - Sale ²⁵
10/08/20	10.246	128.34	Various	100.00	...	28.34	Total of 3 transactions
3 transactions for 12/03/20. Total proceeds and cost reported to the IRS.							
	15.000	273.75	11/20/20	228.68	...	45.07	1 of 3 - Sale ²⁵
	0.072	1.31	11/30/20	1.15	...	0.16	2 of 3 - Sale ²⁵
	3.053	55.73	11/30/20	48.85	...	6.88	3 of 3 - Sale ²⁵
12/03/20	18.125	330.79	Various	278.68	...	52.11	Total of 3 transactions
	Security total:	459.13		378.68	...	80.45	
PALANTIR TECHNOLOGIES INC. CLA SS A COMMON STOCK / CUSIP: 69608A108 / Symbol:							
2 transactions for 12/02/20. Total proceeds and cost reported to the IRS.							
	10.000	226.00	09/30/20	100.00	...	126.00	1 of 2 - Sale ²⁵
	10.000	226.00	09/30/20	100.00	...	126.00	2 of 2 - Sale ²⁵
12/02/20	20.000	452.00	Various	200.00	...	252.00	Total of 2 transactions
3 transactions for 12/04/20. Total proceeds and cost reported to the IRS.							
	0.005	0.12	09/30/20	0.05	...	0.07	1 of 3 - Sale ²⁵
	0.556	13.44	09/30/20	5.56	...	7.88	2 of 3 - Sale ²⁵
	16.000	386.44	09/30/20	160.00	...	226.44	3 of 3 - Sale ²⁵
12/04/20	16.561	400.00	Various	165.61	...	234.39	Total of 3 transactions
3 transactions for 12/08/20. Total proceeds and cost reported to the IRS.							
	3.439	97.01	09/30/20	34.39	...	62.62	1 of 3 - Sale ²⁵
	5.000	141.05	09/30/20	56.49	...	84.56	2 of 3 - Sale ²⁵

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PALANTIR TECHNOLOGIES INC. CLA SS A COMMON STOCK / CUSIP: 69608A108 / Symbol: (cont'd)							
	16.561	467.21	09/30/20	185.98	...	281.23	3 of 3 - Sale ²⁵
12/08/20	25.000	705.27	Various	276.86	...	428.41	Total of 3 transactions
12/09/20	4.000	108.16	09/30/20	44.92	...	63.24	Sale ²⁵
	2 transactions for 12/22/20. Total proceeds and cost reported to the IRS.						
	5.439	154.62	09/30/20	61.08	...	93.54	1 of 2 - Sale ²⁵
	19.561	556.11	09/30/20	219.67	...	336.44	2 of 2 - Sale ²⁵
12/22/20	25.000	710.73	Various	280.75	...	429.98	Total of 2 transactions
	2 transactions for 12/23/20. Total proceeds and cost reported to the IRS.						
	4.439	128.41	09/30/20	49.85	...	78.56	1 of 2 - Sale ²⁵
	20.561	594.82	09/30/20	228.85	...	365.97	2 of 2 - Sale ²⁵
12/23/20	25.000	723.23	Various	278.70	...	444.53	Total of 2 transactions
	Security total:	3,099.39		1,246.84	...	1,852.55	
PAYA HOLDINGS INC. CLASS A COM MON STOCK / CUSIP: 70434P103 / Symbol:							
	4 transactions for 11/16/20. Total proceeds and cost reported to the IRS.						
	3.000	31.83	10/14/20	32.64	...	-0.81	1 of 4 - Sale ²⁵
	0.309	3.28	10/14/20	3.36	...	-0.08	2 of 4 - Sale ²⁵
	3.986	42.29	10/16/20	46.40	...	-4.11	3 of 4 - Sale ²⁵
	0.310	3.29	10/16/20	3.60	...	-0.31	4 of 4 - Sale ²⁵
11/16/20	7.605	80.69	Various	86.00	...	-5.31	Total of 4 transactions
PELTON INTERACTIVE, INC. CLAS S A COMMON STOCK / CUSIP: 70614W100 / Symbol:							
	4 transactions for 09/09/20. Total proceeds and cost reported to the IRS.						
	0.000	0.01	09/08/20	0.01	...	0.00	1 of 4 - Sale ²⁵
	0.000	0.01	09/08/20	0.01	...	0.00	2 of 4 - Sale ²⁵
	0.137	12.44	09/08/20	12.05	...	0.39	3 of 4 - Sale ²⁵
	1.000	90.78	09/08/20	87.93	...	2.85	4 of 4 - Sale ²⁵
09/09/20	1.137	103.24	Various	100.00	...	3.24	Total of 4 transactions
PEMBINA PIPELINE CORPORATION / CUSIP: 706327103 / Symbol:							
12/07/20	1.000	25.95	11/03/20	21.29	...	4.66	Sale ²⁵
PENNSYLVANIA REAL ESTATE INVES TMENT TRUST / CUSIP: 709102107 / Symbol:							
12/07/20	10.000	11.30	10/22/20	6.03	...	5.27	Sale ²⁵

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Robinhood Securities LLC

Account 752999755

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

03/22/2021 AMENDED

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PERSHING SQUARE TONTINE HOLDIN GS, LTD. / CUSIP: 71531R109 / Symbol:							
3 transactions for 12/01/20. Total proceeds and cost reported to the IRS.							
	0.002	0.06	11/19/20	0.06	...	0.00	1 of 3 - Sale ²⁵
	0.307	8.03	11/19/20	7.70	...	0.33	2 of 3 - Sale ²⁵
	2.998	78.30	11/19/20	75.24	...	3.06	3 of 3 - Sale ²⁵
12/01/20	3.307	86.39	Various	83.00	...	3.39	Total of 3 transactions
PFIZER INC. / CUSIP: 717081103 / Symbol:							
11/16/20	2.000	74.44	11/03/20	72.60	...	1.84	Sale ²⁵
PING IDENTITY HOLDING CORP. / CUSIP: 72341T103 / Symbol:							
2 transactions for 09/01/20. Total proceeds and cost reported to the IRS.							
	0.835	29.66	08/28/20	29.46	...	0.20	1 of 2 - Sale ²⁵
	2.000	70.98	08/28/20	70.54	...	0.44	2 of 2 - Sale ²⁵
09/01/20	2.835	100.64	Various	100.00	...	0.64	Total of 2 transactions
PIVOTAL INVESTMENT CORPORATION II / CUSIP: 72582K100 / Symbol:							
2 transactions for 11/24/20. Total proceeds and cost reported to the IRS.							
	2.000	24.85	09/18/20	24.54	...	0.31	1 of 2 - Sale ²⁵
	7.000	88.71	09/18/20	85.88	...	2.83	2 of 2 - Sale ²⁵
11/24/20	9.000	113.56	Various	110.42	...	3.14	Total of 2 transactions
12/03/20	0.320	4.48	09/18/20	3.93	...	0.55	Sale ²⁵
4 transactions for 12/07/20. Total proceeds and cost reported to the IRS.							
	10.680	170.91	09/18/20	131.03	...	39.88	1 of 4 - Sale ²⁵
	10.000	160.02	09/21/20	130.00	...	30.02	2 of 4 - Sale ²⁵
	0.320	5.12	10/09/20	3.43	...	1.69	3 of 4 - Sale ²⁵
	8.996	143.96	10/09/20	96.57	...	47.39	4 of 4 - Sale ²⁵
12/07/20	29.996	480.01	Various	361.03	...	118.98	Total of 4 transactions
12/08/20	0.067	1.04	12/08/20	1.04	...	0.00	Sale ²⁵
12/08/20	25.882	397.54	12/08/20	398.96	0.14 W	-1.28	Sale ²⁵
	Security total:	996.63		875.38	0.14 W	121.39	

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PLUG POWER, INC. COMMON STOCK / CUSIP: 72919P202 / Symbol:							
2 transactions for 08/13/20. Total proceeds and cost reported to the IRS.							
	7.000	82.11	04/27/20	31.08	...	51.03	1 of 2 - Sale ²⁵
	8.000	93.84	04/27/20	35.52	...	58.32	2 of 2 - Sale ²⁵
08/13/20	15.000	175.95	Various	66.60	...	109.35	Total of 2 transactions
QUANTUMSCAPE CORPORATION / CUSIP: 74767V109 / Symbol:							
11/30/20	1.000	45.06	11/30/20	44.98	...	0.08	Sale ²⁵
RACKSPACE TECHNOLOGY, INC. COM MON STOCK / CUSIP: 750102105 / Symbol:							
11 transactions for 12/04/20. Total proceeds and cost reported to the IRS.							
	6.000	112.26	08/31/20	128.01	...	-15.75	1 of 11 - Sale ²⁵
	2.000	37.42	08/31/20	43.23	...	-5.81	2 of 11 - Sale ²⁵
	1.169	21.87	08/31/20	25.00	...	-3.13	3 of 11 - Sale ²⁵
	0.313	5.86	08/31/20	6.77	...	-0.91	4 of 11 - Sale ²⁵
	0.046	0.87	08/31/20	0.99	...	-0.12	5 of 11 - Sale ²⁵
	8.997	168.32	09/01/20	198.68	...	-30.36	6 of 11 - Sale ²⁵
	0.060	1.12	09/01/20	1.32	...	-0.20	7 of 11 - Sale ²⁵
	0.046	0.86	11/03/20	0.76	...	0.10	8 of 11 - Sale ²⁵
	6.000	112.26	11/03/20	99.24	...	13.02	9 of 11 - Sale ²⁵
	9.572	179.09	11/17/20	150.00	...	29.09	10 of 11 - Sale ²⁵
	10.000	187.09	11/25/20	168.69	...	18.40	11 of 11 - Sale ²⁵
12/04/20	44.203	827.02	Various	822.69	...	4.33	Total of 11 transactions
12/04/20	2.551	47.73	08/18/20	50.00	1.78 W	-0.49	Sale ²⁵
12/18/20	2.000	40.05	12/08/20	42.46	...	-2.41	Sale ²⁵
	Security total:	914.80		915.15	1.78 W	1.43	
REALTY INCOME CORPORATION / CUSIP: 756109104 / Symbol:							
2 transactions for 12/07/20. Total proceeds and cost reported to the IRS.							
	1.000	61.16	11/02/20	58.39	...	2.77	1 of 2 - Sale ²⁵
	1.000	60.79	11/03/20	59.11	...	1.68	2 of 2 - Sale ²⁵
12/07/20	2.000	121.95	Various	117.50	...	4.45	Total of 2 transactions

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2020 1099-B* OMB No. 1545-0715

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RESOLUTE FOREST PRODUCTS INC. / CUSIP: 76117W109 / Symbol:							
4 transactions for 09/11/20. Total proceeds and cost reported to the IRS.							
	0.010	0.05	08/24/20	0.05	...	0.00	1 of 4 - Sale ²⁵
	0.083	0.42	08/24/20	0.40	...	0.02	2 of 4 - Sale ²⁵
	1.990	10.13	08/24/20	9.67	...	0.46	3 of 4 - Sale ²⁵
	3.000	15.28	08/24/20	14.58	...	0.70	4 of 4 - Sale ²⁵
09/11/20	5.083	25.88	Various	24.70	...	1.18	Total of 4 transactions
RISE EDUCATION CAYMAN LTD AMER ICAN DEPOSITARY SHARES / CUSIP: 76761L102 / Symbol:							
2 transactions for 12/01/20. Total proceeds and cost reported to the IRS.							
	5.981	39.28	08/18/20	46.53	...	-7.25	1 of 2 - Sale ²⁵
	0.447	2.94	08/18/20	3.47	...	-0.53	2 of 2 - Sale ²⁵
12/01/20	6.429	42.22	Various	50.00	...	-7.78	Total of 2 transactions
ROCKET COMPANIES, INC. / CUSIP: 77311W101 / Symbol:							
5 transactions for 12/14/20. Total proceeds and cost reported to the IRS.							
	0.010	0.23	11/13/20	0.23	...	0.00	1 of 5 - Sale ²⁵
	4.527	100.93	11/13/20	99.77	...	1.16	2 of 5 - Sale ²⁵
	6.000	132.79	11/18/20	133.48	...	-0.69	3 of 5 - Sale ²⁵
	0.179	3.96	11/18/20	3.98	...	-0.02	4 of 5 - Sale ²⁵
	1.463	32.61	11/18/20	32.54	...	0.07	5 of 5 - Sale ²⁵
12/14/20	12.179	270.52	Various	270.00	...	0.52	Total of 5 transactions
ROLLS ROYCE HOLDINGS PLC SPONS ORED AMERICAN DEPOSITARY SHARE S / CUSIP: 775781206 / Symbol:							
3 transactions for 10/09/20. Total proceeds and cost reported to the IRS.							
	0.279	0.80	10/08/20	0.76	...	0.04	1 of 3 - Sale ²⁵
	8.037	23.06	10/08/20	21.94	...	1.12	2 of 3 - Sale ²⁵
	9.964	28.60	10/08/20	27.30	...	1.30	3 of 3 - Sale ²⁵
10/09/20	18.279	52.46	Various	50.00	...	2.46	Total of 3 transactions
SOC TELEMED, INC. CLASS A COMM ON STOCK / CUSIP: 78472F101 / Symbol:							
12/01/20	9.988	83.15	10/14/20	100.00	...	-16.85	Sale ²⁵
SABRE CORPORATION COMMON STOCK / CUSIP: 78573M104 / Symbol:							
08/14/20	1.000	8.09	06/08/20	5.79	...	2.30	Sale ²⁵

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SHAW COMMUNICATIONS INC. / CUSIP: 82028K200 / Symbol:							
3 transactions for 12/07/20. Total proceeds and cost reported to the IRS.							
	1.000	18.02	10/22/20	17.65	...	0.37	1 of 3 - Sale ²⁵
	1.000	18.02	11/02/20	16.66	...	1.36	2 of 3 - Sale ²⁵
	0.007	0.13	11/30/20	0.13	...	0.00	3 of 3 - Sale ²⁵
12/07/20	2.007	36.17	Various	34.44	...	1.73	Total of 3 transactions
SMILEDIRECTCLUB, INC. CLASS A COMMON STOCK / CUSIP: 83192H106 / Symbol:							
08/31/20	9.000	72.94	08/13/20	71.78	...	1.16	Sale ²⁵
3 transactions for 09/09/20. Total proceeds and cost reported to the IRS.							
	0.009	0.10	09/02/20	0.09	...	0.01	1 of 3 - Sale ²⁵
	0.400	4.53	09/02/20	3.87	...	0.66	2 of 3 - Sale ²⁵
	11.991	135.64	09/02/20	116.04	...	19.60	3 of 3 - Sale ²⁵
09/09/20	12.400	140.27	Various	120.00	...	20.27	Total of 3 transactions
	Security total:	213.21		191.78	...	21.43	
SNAP INC. / CUSIP: 83304A106 / Symbol:							
2 transactions for 09/01/20. Total proceeds and cost reported to the IRS.							
	5.000	111.15	05/04/20	83.00	...	28.15	1 of 2 - Sale ²⁵
	4.608	102.44	08/28/20	100.00	...	2.44	2 of 2 - Sale ²⁵
09/01/20	9.608	213.59	Various	183.00	...	30.59	Total of 2 transactions
SNOWFLAKE INC. / CUSIP: 833445109 / Symbol:							
09/17/20	1.000	228.88	09/16/20	246.62	5.67 W	-12.07	Sale ²⁵
09/29/20	0.320	80.97	09/16/20	92.67	...	-11.70	Sale ²⁵
	Security total:	309.85		339.29	5.67 W	-23.77	
SPLUNK INC. COMMON STOCK / CUSIP: 848637104 / Symbol:							
09/01/20	0.226	49.95	08/28/20	50.00	...	-0.05	Sale ²⁵
STABLE ROAD ACQUISITION CORP. CLASS A COMMON STOCK / CUSIP: 85236Q109 / Symbol:							
12/10/20	1.000	16.63	11/20/20	10.96	...	5.67	Sale ²⁵
12/14/20	14.000	228.24	11/20/20	153.40	...	74.84	Sale ²⁵
	Security total:	244.87		164.36	...	80.51	

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SUNDIAL GROWERS INC. COMMON SH ARES / CUSIP: 86730L109 / Symbol:							
4 transactions for 12/01/20. Total proceeds and cost reported to the IRS.							
	15.000	11.18	11/24/20	4.88	...	6.30	1 of 4 - Sale ²⁵
	60.000	44.70	11/30/20	43.80	...	0.90	2 of 4 - Sale ²⁵
	12.000	8.94	11/30/20	8.00	...	0.94	3 of 4 - Sale ²⁵
	30.000	22.35	11/30/20	19.55	...	2.80	4 of 4 - Sale ²⁵
12/01/20	117.000	87.17	Various	76.23	...	10.94	Total of 4 transactions
SWITCHBACK ENERGY ACQUISITION CORPORATION / CUSIP: 87105M102 / Symbol:							
6 transactions for 10/20/20. Total proceeds and cost reported to the IRS.							
	0.431	7.39	09/29/20	6.70	...	0.69	1 of 6 - Sale ²⁵
	5.992	102.71	09/29/20	93.30	...	9.41	2 of 6 - Sale ²⁵
	0.008	0.13	09/30/20	0.12	...	0.01	3 of 6 - Sale ²⁵
	0.246	4.22	09/30/20	3.94	...	0.28	4 of 6 - Sale ²⁵
	0.669	11.40	09/30/20	10.70	...	0.70	5 of 6 - Sale ²⁵
	5.331	91.36	09/30/20	85.24	...	6.12	6 of 6 - Sale ²⁵
10/20/20	12.677	217.21	Various	200.00	...	17.21	Total of 6 transactions
2 transactions for 11/23/20. Total proceeds and cost reported to the IRS.							
	0.524	16.78	11/19/20	12.65	...	4.13	1 of 2 - Sale ²⁵
	8.785	281.49	11/19/20	217.35	...	64.14	2 of 2 - Sale ²⁵
11/23/20	9.309	298.27	Various	230.00	...	68.27	Total of 2 transactions
	Security total:	515.48		430.00	...	85.48	
TATTOOED CHEF, INC CLASS A COM MON STOCK / CUSIP: 87663X102 / Symbol:							
2 transactions for 12/03/20. Total proceeds and cost reported to the IRS.							
	1.000	15.70	10/15/20	23.30	7.60 W	0.00	1 of 2 - Sale ²⁵
	1.443	22.59	10/15/20	33.63	11.04 W	0.00	2 of 2 - Sale ²⁵
12/03/20	2.443	38.29	Various	56.93	18.64 W	0.00	Total of 2 transactions
8 transactions for 12/04/20. Total proceeds and cost reported to the IRS.							
	7.557	115.80	10/15/20	176.07	...	-60.27	1 of 8 - Sale ²⁵
	1.000	15.33	10/16/20	26.60	...	-11.27	2 of 8 - Sale ²⁵
	0.901	13.80	10/23/20	17.23	...	-3.43	3 of 8 - Sale ²⁵
	2.653	40.66	10/27/20	50.96	...	-10.30	4 of 8 - Sale ²⁵
	5.000	76.63	10/30/20	87.20	...	-10.57	5 of 8 - Sale ²⁵

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TATTOOED CHEF, INC CLASS A COM MON STOCK / CUSIP: 87663X102 / Symbol: (cont'd)							
	1.443	22.12	11/03/20	35.55	...	-13.43	6 of 8 - Sale ²⁵
	1.000	15.33	11/03/20	24.58	...	-9.25	7 of 8 - Sale ²⁵
	3.446	52.80	11/03/20	58.51	...	-5.71	8 of 8 - Sale ²⁵
12/04/20	23.000	352.47	Various	476.70	...	-124.23	Total of 8 transactions
	Security total:	390.76		533.63	18.64 W	-124.23	
TELLURIAN INC. COMMON STOCK / CUSIP: 87968A104 / Symbol:							
	2 transactions for 11/24/20. Total proceeds and cost reported to the IRS.						
	52.756	71.74	11/13/20	49.00	...	22.74	1 of 2 - Sale ²⁵
	53.812	73.18	11/19/20	60.00	...	13.18	2 of 2 - Sale ²⁵
11/24/20	106.568	144.92	Various	109.00	...	35.92	Total of 2 transactions
TENCENT MUSIC ENTERTAINMENT GR OUP AMERICAN DEPOSITARY SHARES , EACH REPRESENTING TWO CLASS / CUSIP: 88034P109 / Symbol:							
12/15/20	1.000	18.85	11/23/20	16.41	...	2.44	Sale ²⁵
TESLA, INC. COMMON STOCK / CUSIP: 88160R101 / Symbol:							
	3 transactions for 08/31/20. Total proceeds and cost reported to the IRS.						
	0.092	45.16	08/31/20	45.00	...	0.16	1 of 3 - Sale ²⁵
	0.150	73.33	08/31/20	72.99	...	0.34	2 of 3 - Sale ²⁵
	0.422	206.45	08/31/20	200.00	...	6.45	3 of 3 - Sale ²⁵
08/31/20	0.665	324.94	Various	317.99	...	6.95	Total of 3 transactions
	4 transactions for 09/15/20. Total proceeds and cost reported to the IRS.						
	0.036	15.91	09/09/20	13.00	...	2.91	1 of 4 - Sale ²⁵
	0.320	141.94	09/09/20	116.00	...	25.94	2 of 4 - Sale ²⁵
	0.532	236.26	09/09/20	193.00	...	43.26	3 of 4 - Sale ²⁵
	0.554	246.03	09/10/20	217.00	...	29.03	4 of 4 - Sale ²⁵
09/15/20	1.441	640.14	Various	539.00	...	101.14	Total of 4 transactions
09/15/20	1.000	444.13	08/31/20	497.77	53.64 W	0.00	Sale ²⁵
	4 transactions for 09/16/20. Total proceeds and cost reported to the IRS.						
	1.000	447.45	09/15/20	499.61	...	-52.16	1 of 4 - Sale ²⁵
	0.286	127.97	09/15/20	128.00	...	-0.03	2 of 4 - Sale ²⁵
	0.000	0.21	09/15/20	0.21	...	0.00	3 of 4 - Sale ²⁵
	1.551	694.11	09/15/20	691.82	...	2.29	4 of 4 - Sale ²⁵
09/16/20	2.838	1,269.74	Various	1,319.64	...	-49.90	Total of 4 transactions

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Robinhood Securities LLC

Account 752999755

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

03/22/2021 AMENDED

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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TESLA, INC. COMMON STOCK / CUSIP: 88160R101 / Symbol: (cont'd)							
12/15/20	0.159	100.62	12/08/20	100.00	...	0.62	Sale ²⁵
	Security total:	2,779.57		2,774.40	53.64 W	58.81	
TORTOISE ACQUISITION CORP. CLA SS A COMMON STOCK / CUSIP: 89154L100 / Symbol:							
09/08/20	2.381	130.14	09/02/20	125.00	...	5.14	Sale ²⁵
09/21/20	0.076	3.85	09/18/20	3.70	...	0.15	Sale ²⁵
	Security total:	133.99		128.70	...	5.29	
TRINE ACQUISITION CORP. CLASS A COMMON STOCK / CUSIP: 89628U108 / Symbol:							
<i>6 transactions for 12/08/20. Total proceeds and cost reported to the IRS.</i>							
	0.003	0.05	09/17/20	0.03	...	0.02	1 of 6 - Sale ²⁵
	0.104	2.05	09/17/20	1.31	...	0.74	2 of 6 - Sale ²⁵
	0.805	15.94	09/17/20	10.18	...	5.76	3 of 6 - Sale ²⁵
	6.994	138.42	09/17/20	88.48	...	49.94	4 of 6 - Sale ²⁵
	2.000	39.58	09/18/20	24.14	...	15.44	5 of 6 - Sale ²⁵
	0.200	3.96	11/18/20	2.10	...	1.86	6 of 6 - Sale ²⁵
12/08/20	10.106	200.00	Various	126.24	...	73.76	Total of 6 transactions
T2 BIOSYSTEMS, INC. COMMON STO CK / CUSIP: 89853L104 / Symbol:							
12/07/20	1.000	1.13	11/27/20	1.09	...	0.04	Sale ²⁵
TWO HARBORS INVESTMENT CORP. / CUSIP: 90187B408 / Symbol:							
12/07/20	1.000	6.55	11/16/20	6.40	...	0.15	Sale ²⁵
UNITI GROUP INC. COMMON STOCK / CUSIP: 91325V108 / Symbol:							
12/07/20	1.000	11.55	11/16/20	9.83	...	1.72	Sale ²⁵
UPWORK INC. COMMON STOCK / CUSIP: 91688F104 / Symbol:							
<i>3 transactions for 09/22/20. Total proceeds and cost reported to the IRS.</i>							
	0.139	2.16	09/02/20	2.15	...	0.01	1 of 3 - Sale ²⁵
	0.137	2.14	09/02/20	2.12	...	0.02	2 of 3 - Sale ²⁵
	5.861	91.03	09/02/20	90.73	...	0.30	3 of 3 - Sale ²⁵
09/22/20	6.137	95.33	Various	95.00	...	0.33	Total of 3 transactions

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VALE S.A. / CUSIP: 91912E105 / Symbol:							
11/23/20	8.511	111.76	11/16/20	100.00	...	11.76	Sale ²⁵
VAXART, INC COMMON STOCK / CUSIP: 92243A200 / Symbol:							
<i>3 transactions for 09/17/20. Total proceeds and cost reported to the IRS.</i>							
	0.236	1.94	09/16/20	1.66	...	0.28	1 of 3 - Sale ²⁵
	6.009	49.28	09/16/20	42.18	...	7.10	2 of 3 - Sale ²⁵
	7.991	65.53	09/16/20	56.16	...	9.37	3 of 3 - Sale ²⁵
09/17/20	14.236	116.75	Various	100.00	...	16.75	Total of 3 transactions
VELODYNE LIDAR, INC. COMMON STOCK / CUSIP: 92259F101 / Symbol:							
<i>2 transactions for 12/08/20. Total proceeds and cost reported to the IRS.</i>							
	0.532	11.23	10/01/20	10.56	...	0.67	1 of 2 - Sale ²⁵
	4.000	84.84	10/01/20	79.44	...	5.40	2 of 2 - Sale ²⁵
12/08/20	4.532	96.07	Various	90.00	...	6.07	Total of 2 transactions
VERITONE, INC. COMMON STOCK / CUSIP: 92347M100 / Symbol:							
12/07/20	1.000	30.43	11/30/20	27.45	...	2.98	Sale ²⁵
VIATRIS INC. COMMON STOCK / CUSIP: 92556V106 / Symbol:							
11/23/20	8.987	152.34	11/17/20	150.00	...	2.34	Sale ²⁵
VYNE THERAPEUTICS INC. COMMON STOCK / CUSIP: 92941V100 / Symbol:							
12/14/20	1.000	1.73	11/27/20	1.67	...	0.06	Sale ²⁵
WAITR HOLDINGS INC. COMMON STOCK / CUSIP: 930752100 / Symbol:							
<i>3 transactions for 12/04/20. Total proceeds and cost reported to the IRS.</i>							
	0.549	1.93	11/27/20	1.94	...	-0.01	1 of 3 - Sale ²⁵
	0.451	1.58	11/30/20	1.53	...	0.05	2 of 3 - Sale ²⁵
	4.000	14.05	11/30/20	13.48	...	0.57	3 of 3 - Sale ²⁵
12/04/20	5.000	17.56	Various	16.95	...	0.61	Total of 3 transactions
12/04/20	0.451	1.59	11/27/20	1.60	0.01 W	0.00	Sale ²⁵
	Security total:	19.15		18.55	0.01 W	0.61	
WALMART INC. / CUSIP: 931142103 / Symbol:							
09/01/20	0.718	104.47	08/28/20	100.00	...	4.47	Sale ²⁵

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Proceeds from Broker and Barter Exchange Transactions

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WORKHORSE GROUP, INC. COMMON S TOCK / CUSIP: 98138J206 / Symbol:							
2 transactions for 09/09/20. Total proceeds and cost reported to the IRS.							
	0.352	8.26	09/08/20	7.53	...	0.73	1 of 2 - Sale ²⁵
	8.994	210.92	09/08/20	192.47	...	18.45	2 of 2 - Sale ²⁵
09/09/20	9.347	219.18	Various	200.00	...	19.18	Total of 2 transactions
4 transactions for 09/18/20. Total proceeds and cost reported to the IRS.							
	0.522	15.35	09/16/20	13.87	...	1.48	1 of 4 - Sale ²⁵
	6.998	205.97	09/16/20	186.13	...	19.84	2 of 4 - Sale ²⁵
	0.318	9.36	09/17/20	8.69	...	0.67	3 of 4 - Sale ²⁵
	6.995	205.91	09/17/20	191.31	...	14.60	4 of 4 - Sale ²⁵
09/18/20	14.832	436.59	Various	400.00	...	36.59	Total of 4 transactions
3 transactions for 10/12/20. Total proceeds and cost reported to the IRS.							
	10.000	286.59	10/01/20	248.80	...	37.79	1 of 3 - Sale ²⁵
	0.852	24.03	10/08/20	22.74	...	1.29	2 of 3 - Sale ²⁵
	5.148	147.54	10/08/20	125.66	...	21.88	3 of 3 - Sale ²⁵
10/12/20	16.000	458.16	Various	397.20	...	60.96	Total of 3 transactions
10/12/20	6.852	196.37	09/21/20	212.00	15.63 W	0.00	Sale ²⁵
10/16/20	1.000	22.82	10/13/20	25.64	2.82 W	0.00	Sale ²⁵
4 transactions for 11/16/20. Total proceeds and cost reported to the IRS.							
	0.001	0.01	11/03/20	0.01	...	0.00	1 of 4 - Sale ²⁵
	0.116	2.27	11/03/20	2.23	...	0.04	2 of 4 - Sale ²⁵
	1.590	31.15	11/03/20	30.72	...	0.43	3 of 4 - Sale ²⁵
	1.985	38.89	11/03/20	37.52	...	1.37	4 of 4 - Sale ²⁵
11/16/20	3.691	72.32	Various	70.48	...	1.84	Total of 4 transactions
5 transactions for 11/18/20. Total proceeds and cost reported to the IRS.							
	0.026	0.60	11/03/20	0.52	...	0.08	1 of 5 - Sale ²⁵
	0.408	9.37	11/03/20	7.88	...	1.49	2 of 5 - Sale ²⁵
	0.973	22.32	11/03/20	19.38	...	2.94	3 of 5 - Sale ²⁵
	0.899	20.62	11/03/20	17.41	...	3.21	4 of 5 - Sale ²⁵
	0.694	15.94	11/03/20	11.88	...	4.06	5 of 5 - Sale ²⁵
11/18/20	3.000	68.85	Various	57.07	...	11.78	Total of 5 transactions

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(continued)

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WORKHORSE GROUP, INC. COMMON S TOCK / CUSIP: 98138J206 / Symbol: (cont'd)							
5 transactions for 11/19/20. Total proceeds and cost reported to the IRS.							
	0.332	7.59	11/03/20	5.68	...	1.91	1 of 5 - Sale ²⁵
	0.679	15.52	11/03/20	11.62	...	3.90	2 of 5 - Sale ²⁵
	5.000	115.37	11/03/20	91.98	...	23.39	3 of 5 - Sale ²⁵
	5.000	115.38	11/03/20	85.71	...	29.67	4 of 5 - Sale ²⁵
	5.989	136.91	11/03/20	102.67	...	34.24	5 of 5 - Sale ²⁵
11/19/20	17.000	390.77	Various	297.66	...	93.11	Total of 5 transactions
	Security total:	1,865.06		1,660.05	18.45 W	223.46	
XL FLEET CORP. / CUSIP: 9837FR100 / Symbol:							
4 transactions for 12/24/20. Total proceeds and cost reported to the IRS.							
	0.192	5.57	12/21/20	3.77	...	1.80	1 of 4 - Sale ²⁵
	0.359	10.45	12/21/20	7.05	...	3.40	2 of 4 - Sale ²⁵
	1.998	58.21	12/21/20	39.32	...	18.89	3 of 4 - Sale ²⁵
	19.643	572.11	12/23/20	551.08	...	21.03	4 of 4 - Sale ²⁵
12/24/20	22.192	646.34	Various	601.22	...	45.12	Total of 4 transactions
XPENG INC. AMERICAN DEPOSITARY SHARES, EACH REPRESENTING TWO CLASS A ORDINARY SHARES / CUSIP: 98422D105 / Symbol:							
4 transactions for 11/03/20. Total proceeds and cost reported to the IRS.							
	0.014	0.32	08/31/20	0.31	...	0.01	1 of 4 - Sale ²⁵
	0.051	1.11	08/31/20	1.09	...	0.02	2 of 4 - Sale ²⁵
	0.160	3.51	08/31/20	3.43	...	0.08	3 of 4 - Sale ²⁵
	0.277	6.07	08/31/20	5.97	...	0.10	4 of 4 - Sale ²⁵
11/03/20	0.502	11.01	Various	10.80	...	0.21	Total of 4 transactions
11/03/20	4.000	87.74	08/31/20	89.20	1.46 W	0.00	Sale ²⁵
5 transactions for 11/13/20. Total proceeds and cost reported to the IRS.							
	0.002	0.11	11/12/20	0.10	...	0.01	1 of 5 - Sale ²⁵
	0.002	0.12	11/12/20	0.10	...	0.02	2 of 5 - Sale ²⁵
	0.261	12.75	11/12/20	11.10	...	1.65	3 of 5 - Sale ²⁵
	0.261	12.95	11/12/20	11.21	...	1.74	4 of 5 - Sale ²⁵
	3.736	182.24	11/12/20	160.16	...	22.08	5 of 5 - Sale ²⁵
11/13/20	4.264	208.17	Various	182.67	...	25.50	Total of 5 transactions

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XPENG INC. AMERICAN DEPOSITARY SHARES, EACH REPRESENTING TWO CLASS A ORDINARY SHARES / CUSIP: 98422D105 / Symbol: (cont'd)							
10 transactions for 11/24/20. Total proceeds and cost reported to the IRS.							
	0.024	1.59	11/16/20	1.08	...	0.51	1 of 10 - Sale ²⁵
	0.241	16.13	11/16/20	10.92	...	5.21	2 of 10 - Sale ²⁵
	5.587	373.12	11/16/20	253.00	...	120.12	3 of 10 - Sale ²⁵
	0.024	1.63	11/18/20	1.02	...	0.61	4 of 10 - Sale ²⁵
	0.803	53.64	11/18/20	34.60	...	19.04	5 of 10 - Sale ²⁵
	3.565	238.12	11/18/20	148.98	...	89.14	6 of 10 - Sale ²⁵
	4.992	333.41	11/18/20	215.40	...	118.01	7 of 10 - Sale ²⁵
	0.817	54.53	11/20/20	44.95	...	9.58	8 of 10 - Sale ²⁵
	0.999	66.69	11/20/20	55.05	...	11.64	9 of 10 - Sale ²⁵
	0.307	20.53	11/23/20	20.52	...	0.01	10 of 10 - Sale ²⁵
11/24/20	17.359	1,159.39	Various	785.52	...	373.87	Total of 10 transactions
11/24/20	1.189	79.38	11/23/20	79.48	0.10 W	0.00	Sale ²⁵
	Security total:	1,545.69		1,147.67	1.56 W	399.58	
ZOOM VIDEO COMMUNICATIONS, INC . CLASS A COMMON STOCK / CUSIP: 98980L101 / Symbol:							
4 transactions for 09/21/20. Total proceeds and cost reported to the IRS.							
	0.015	6.94	09/01/20	6.71	...	0.23	1 of 4 - Sale ²⁵
	0.114	52.97	09/01/20	52.00	...	0.97	2 of 4 - Sale ²⁵
	0.429	199.83	09/01/20	193.29	...	6.54	3 of 4 - Sale ²⁵
	0.374	174.31	09/01/20	163.00	...	11.31	4 of 4 - Sale ²⁵
09/21/20	0.932	434.05	Various	415.00	...	19.05	Total of 4 transactions
ZYNGA INC. CLASS A COMMON STOCK / CUSIP: 98986T108 / Symbol:							
2 transactions for 11/27/20. Total proceeds and cost reported to the IRS.							
	0.300	2.47	11/13/20	2.46	...	0.01	1 of 2 - Sale ²⁵
	2.000	16.44	11/13/20	16.40	...	0.04	2 of 2 - Sale ²⁵
11/27/20	2.300	18.91	Various	18.86	...	0.05	Total of 2 transactions
6 transactions for 12/01/20. Total proceeds and cost reported to the IRS.							
	7.686	62.99	11/13/20	63.02	...	-0.03	1 of 6 - Sale ²⁵
	0.014	0.12	11/13/20	0.12	...	0.00	2 of 6 - Sale ²⁵
	0.038	0.31	11/17/20	0.30	...	0.01	3 of 6 - Sale ²⁵
	11.992	98.27	11/17/20	95.70	...	2.57	4 of 6 - Sale ²⁵

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ZYNGA INC. CLASS A COMMON STOC K / CUSIP: 98986T108 / Symbol: (cont'd)							
	0.301	2.47	11/18/20	2.39	...	0.08	5 of 6 - Sale ²⁵
	5.983	49.03	11/18/20	47.61	...	1.42	6 of 6 - Sale ²⁵
12/01/20	26.014	213.19	Various	209.14	...	4.05	Total of 6 transactions
	Security total:	232.10		228.00	...	4.10	
CAMBIUM NETWORKS CORPORATION O RDINARY SHARES / CUSIP: G17766109 / Symbol:							
4 transactions for 09/01/20. Total proceeds and cost reported to the IRS.							
	0.915	12.66	08/18/20	14.38	1.72 W	0.00	1 of 4 - Sale ²⁵
	3.623	50.13	08/18/20	56.96	6.83 W	0.00	2 of 4 - Sale ²⁵
	0.042	0.58	08/18/20	0.74	0.16 W	0.00	3 of 4 - Sale ²⁵
	0.335	4.63	09/01/20	5.08	0.45 W	0.00	4 of 4 - Sale ²⁵
09/01/20	4.915	68.00	Various	77.16	9.16 W	0.00	Total of 4 transactions
6 transactions for 09/08/20. Total proceeds and cost reported to the IRS.							
	3.623	51.09	09/01/20	54.98	...	-3.89	1 of 6 - Sale ²⁵
	0.349	4.92	09/01/20	5.28	...	-0.36	2 of 6 - Sale ²⁵
	0.335	4.72	09/01/20	4.90	...	-0.18	3 of 6 - Sale ²⁵
	0.042	0.59	09/01/20	0.72	...	-0.13	4 of 6 - Sale ²⁵
	0.190	2.67	09/01/20	2.73	...	-0.06	5 of 6 - Sale ²⁵
	2.462	34.71	09/01/20	32.72	...	1.99	6 of 6 - Sale ²⁵
09/08/20	7.000	98.70	Various	101.33	...	-2.63	Total of 6 transactions
09/08/20	0.190	2.67	09/01/20	2.88	0.21 W	0.00	Sale ²⁵
	Security total:	169.37		181.37	9.37 W	-2.63	
GLOBAL CORD BLOOD CORPORATION / CUSIP: G39342103 / Symbol:							
12/14/20	2.404	9.33	11/30/20	10.00	...	-0.67	Sale ²⁵
EBANG INTERNATIONAL HOLDINGS I NC. CLASS A ORDINARY SHARES / CUSIP: G3R33A106 / Symbol:							
11/30/20	0.919	4.48	10/13/20	9.30	...	-4.82	Sale ²⁵
NEWBORN ACQUISITION CORP. ORDINARY SHARES / CUSIP: G6463T106 / Symbol:							
4 transactions for 11/27/20. Total proceeds and cost reported to the IRS.							
	2.000	36.84	11/25/20	35.47	...	1.37	1 of 4 - Sale ²⁵
	6.000	110.51	11/25/20	109.12	...	1.39	2 of 4 - Sale ²⁵

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2020 1099-B* OMB No. 1545-0715

(continued)

03/22/2021 AMENDED

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
NEWBORN ACQUISITION CORP. ORDINARY SHARES / CUSIP: G6463T106 / Symbol: (cont'd)							
	1.000	18.42	11/25/20	15.00	...	3.42	3 of 4 - Sale ²⁵
	5.000	92.09	11/25/20	87.44	...	4.65	4 of 4 - Sale ²⁵
11/27/20	14.000	257.86	Various	247.03	...	10.83	Total of 4 transactions
OAKTREE ACQUISITION CORP. / CUSIP: G67145105 / Symbol:							
12/01/20	9.542	103.48	10/14/20	100.00	...	3.48	Sale ²⁵
REPLAY ACQUISITION CORP. ORDINARY SHARES / CUSIP: G75130107 / Symbol:							
2 transactions for 12/01/20. Total proceeds and cost reported to the IRS.							
	9.804	99.37	10/14/20	99.80	...	-0.43	1 of 2 - Sale ²⁵
	0.020	0.20	10/14/20	0.20	...	0.00	2 of 2 - Sale ²⁵
12/01/20	9.824	99.57	Various	100.00	...	-0.43	Total of 2 transactions
SOCIAL CAPITAL HEDOSOPHIA HOLDINGS CORP. II / CUSIP: G8250T109 / Symbol:							
7 transactions for 10/09/20. Total proceeds and cost reported to the IRS.							
	0.295	6.39	10/08/20	5.57	...	0.82	1 of 7 - Sale ²⁵
	0.434	9.39	10/08/20	8.00	...	1.39	2 of 7 - Sale ²⁵
	0.603	13.04	10/08/20	11.41	...	1.63	3 of 7 - Sale ²⁵
	3.882	83.98	10/08/20	72.60	...	11.38	4 of 7 - Sale ²⁵
	4.388	94.91	10/08/20	83.02	...	11.89	5 of 7 - Sale ²⁵
	5.000	108.15	10/08/20	92.70	...	15.45	6 of 7 - Sale ²⁵
	5.000	108.15	10/08/20	92.10	...	16.05	7 of 7 - Sale ²⁵
10/09/20	19.603	424.01	Various	365.40	...	58.61	Total of 7 transactions
4 transactions for 10/14/20. Total proceeds and cost reported to the IRS.							
	0.191	5.00	10/12/20	4.48	...	0.52	1 of 4 - Sale ²⁵
	1.000	26.15	10/12/20	23.47	...	2.68	2 of 4 - Sale ²⁵
	0.355	9.29	10/13/20	8.16	...	1.13	3 of 4 - Sale ²⁵
	3.453	90.31	10/13/20	79.40	...	10.91	4 of 4 - Sale ²⁵
10/14/20	5.000	130.75	Various	115.51	...	15.24	Total of 4 transactions
10/15/20	0.541	13.75	10/13/20	12.44	...	1.31	Sale ²⁵
12/03/20	5.000	105.27	10/19/20	113.71	8.44 W	0.00	Sale ²⁵
12/15/20	1.000	28.50	10/19/20	22.74	...	5.76	Sale ²⁵
	Security total:	702.28		629.80	8.44 W	80.92	

* 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 752999755

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

03/22/2021 AMENDED

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
SOCIAL CAPITAL HEDOSOPHIA HOLD INGS CORP. III / CUSIP: G8251K107 / Symbol:							
11/24/20	1.000	10.00	09/16/20	12.23	2.23 W	0.00	Sale ²⁵
12/10/20	3.000	34.11	10/14/20	31.20	...	2.91	Sale ²⁵
12/10/20	7.000	79.60	09/16/20	85.61	4.30 W	-1.71	Sale ²⁵
<i>3 transactions for 12/14/20. Total proceeds and cost reported to the IRS.</i>							
	6.615	74.29	10/14/20	68.80	...	5.49	1 of 3 - Sale ²⁵
	1.000	11.23	11/20/20	12.22	...	-0.99	2 of 3 - Sale ²⁵
	3.000	33.69	11/20/20	32.55	...	1.14	3 of 3 - Sale ²⁵
12/14/20	10.615	119.21	Various	113.57	...	5.64	Total of 3 transactions
12/24/20	2.000	30.03	12/18/20	25.90	...	4.13	Sale ²⁵
	Security total:	272.95		268.51	6.53 W	10.97	
GAMIDA CELL LTD. ORDINARY SHAR ES / CUSIP: M47364100 / Symbol:							
12/08/20	3.000	27.51	11/30/20	20.79	...	6.72	Sale ²⁵
JFROG LTD. ORDINARY SHARES / CUSIP: M6191J100 / Symbol:							
09/17/20	2.000	120.00	09/16/20	135.08	...	-15.08	Sale ²⁵
Totals :		69,474.19		58,446.40	221.16 W	11,248.95	

* 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 752999755

Detail for Dividends and Distributions

2020

03/22/2021 AMENDED

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
AGNC INVESTMENT CORP. COMMON STOCK	00123Q104		12/09/20	0.08	Long-term capital gain	03
			12/09/20	0.04	Section 199A dividend	03
				0.12	Total Dividends & distributions	
AT&T INC.	00206R102		11/02/20	1.90	Qualified dividend	
APPLE INC. COMMON STOCK	037833100		11/12/20	0.92	Qualified dividend	
AVNET, INC. COMMON STOCK	053807103		12/16/20	0.51	Qualified dividend	
BANK OF AMERICA CORPORATION	060505104		12/24/20	0.72	Qualified dividend	
INFRACAP MLP ETF	26923G772		11/30/20	0.22	Qualified dividend	
FIRST TRUST EXCHANGE-TRADED FUND VI MULTI-ASSET DIVERSIFIED INCOME INDEX FUND	33738R100		11/30/20	0.04	Nonqualified dividend	03
			11/30/20	0.03	Qualified dividend	03
				0.07	Total Dividends & distributions	
GENERAL ELECTRIC COMPANY	369604103		07/27/20	0.13	Qualified dividend	
GLADSTONE COMMERCIAL CORPORATION ON REAL ESTATE INVESTMENT TRUST	376536108		11/30/20	0.08	Nondividend distribution	03
			11/30/20	0.05	Section 199A dividend	03
				0.13	Total Dividends & distributions	
GLADSTONE INVESTMENT CORPORATION ON BUSINESS DEVELOPMENT COMPANY	376546107		11/30/20	0.20	Nonqualified dividend	03
			11/30/20	0.01	Long-term capital gain	03
				0.21	Total Dividends & distributions	
MAIN STREET CAPITAL CORPORATION	56035L104		12/15/20	0.21	Nonqualified dividend	03
PEMBINA PIPELINE CORPORATION	706327103		12/15/20	0.17	Qualified dividend	
			12/15/20	-0.03	Foreign tax withheld-CA	
				0.17	Total Dividends & distributions	
				-0.03	Total Foreign tax withheld	

Robinhood Securities LLC

Account 752999755

Detail for Dividends and Distributions

2020

(continued)

03/22/2021 AMENDED

Security description	CUSIP and/or symbol	State	Date	Amount	Transaction type	Notes
PFIZER INC.	717081103		12/01/20	0.76	Qualified dividend	
REALTY INCOME CORPORATION	756109104		12/15/20	0.39	Section 199A dividend	03
			12/15/20	0.08	Nondividend distribution	03
				0.47	Total Dividends & distributions	
SHAW COMMUNICATIONS INC.	82028K200		11/27/20	0.15	Nonqualified dividend	
			11/27/20	-0.02	Foreign tax withheld-CA	
				0.15	Total Dividends & distributions	
				-0.02	Total Foreign tax withheld	
				6.69	Total Dividends & distributions	
				-0.05	Total Foreign tax withheld	

Robinhood Securities LLC

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Detail for Miscellaneous Income

2020

03/22/2021 AMENDED

<u>Security description</u>	<u>CUSIP and/or symbol</u>	<u>Date</u>	<u>Amount</u>	<u>Transaction type</u>	<u>Notes</u>
DELEK LOGISTICS PARTNERS, LP	24664T103	11/12/20	1.81	Substitute payment	
			1.81	Total Miscellaneous income	

Robinhood Securities LLC

Account 752999755

Fees and Expenses

2020

03/22/2021 AMENDED

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

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

Description	CUSIP and/or symbol	Date	Amount	Transaction type	Notes
		09/30/20	-1.73	Margin interest paid	
		09/30/20	-5.00	Margin interest paid	
		10/30/20	-2.59	Margin interest paid	
		10/30/20	-5.00	Margin interest paid	
		11/30/20	-5.00	Margin interest paid	
		11/30/20	-15.68	Margin interest paid	
		12/29/20	-5.00	Margin interest paid	
		12/29/20	-29.05	Margin interest paid	
			-69.05	Total Margin interest paid	
			-69.05	Total Margin interest paid	

Robinhood Securities LLC

Account 752999755

Foreign Income and Taxes Summary

2020

03/22/2021 AMENDED

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	PEMBINA PIPELINE CORPORATION	706327103	0.00	0.17		0.00	0.17	-0.03
CA	SHAW COMMUNICATIONS INC.	82028K200	0.15	0.00		0.00	0.15	-0.02
Total CANADA			0.15	0.17		0.00	0.32	-0.05
Grand Total	Total Foreign Source Income*			0.32				
	Qualified Foreign Source Income**			0.17				
	Foreign Tax							-0.05

* 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 752999755

Non-Reportable Actions

2020

03/22/2021 AMENDED

Security Description	CUSIP and/or symbol	Date	Quantity	Amount	Transaction type	Notes
CHURCHILL CAPITAL CORP III CLA SS A COMMON STOCK	17144C104	10/09/20	-10.00	0.00	Exchange	
DESKTOP METAL, INC.	25058X105	12/09/20	8.44	0.00	Exchange	
FINTECH ACQUISITION CORP. III CLASS A COMMON STOCK	31811A101	10/19/20	-7.61	0.00	Exchange	
FISKER INC.	33813J106	10/30/20	14.29	0.00	Exchange	
FLYING EAGLE ACQUISITION CORP.	34407Y103	12/17/20	-3.00	0.00	Exchange	
FORTRESS VALUE ACQUISITION COR P.	34962V106	11/18/20	-5.00	0.00	Exchange	
FORUM MERGER II CORPORATION CL ASS A COMMON STOCK	34986F103	10/15/20	-10.00	0.00	Exchange	
HEALTHCARE MERGER CORP. CLASS A COMMON STOCK	42227L102	11/02/20	-9.99	0.00	Exchange	
MP MATERIALS CORP.	553368101	11/18/20	5.00	0.00	Exchange	
MULTIPLAN CORPORATION	62548M100	10/09/20	10.00	0.00	Exchange	
OPENDOOR TECHNOLOGIES INC COMM ON STOCK	683712103	12/21/20	79.09	0.00	Exchange	
PAYA HOLDINGS INC. CLASS A COM MON STOCK	70434P103	10/19/20	7.61	0.00	Exchange	
PIVOTAL INVESTMENT CORPORATION II	72582K100	12/21/20	-2.55	0.00	Exchange	
RMG ACQUISITION CORP. CLASS A COMMON STOCK	749641106	12/30/20	-2.00	0.00	Exchange	
ROMEO POWER, INC.	776153108	12/30/20	2.00	0.00	Exchange	
SOC TELEMED, INC. CLASS A COMM ON STOCK	78472F101	11/02/20	9.99	0.00	Exchange	
SKILLZ INC.	83067L109	12/17/20	3.00	0.00	Exchange	
SPARTAN ENERGY ACQUISITION COR P.	846784106	10/30/20	-14.29	0.00	Exchange	
TATTOOED CHEF, INC CLASS A COM MON STOCK	87663X102	10/15/20	10.00	0.00	Exchange	
TRINE ACQUISITION CORP. CLASS A COMMON STOCK	89628U108	12/09/20	-8.44	0.00	Exchange	

Robinhood Securities LLC

Account 752999755

Non-Reportable Actions
(continued)

2020

03/22/2021 AMENDED

Security Description	CUSIP and/or symbol	Date	Quantity	Amount	Transaction type	Notes
XL FLEET CORP.	9837FR100	12/21/20	2.55	0.00	Exchange	
DPHC 01/15/2021 CALL \$25.00	DPHC 01/15/21 C 25.000	10/26/20	-2.00	0.00	Merger	
DPHC 01/15/2021 CALL \$30.00	DPHC 01/15/21 C 30.000	10/26/20	2.00	0.00	Merger	
SOCIAL CAPITAL HEDOSOPHIA HOLD INGS CORP. II	G8250T109	12/21/20	-79.09	0.00	Exchange	
HYLN 01/15/2021 CALL \$45.00	HYLN 01/15/21 C 45.000	10/02/20	1.00	0.00	Merger	
HYLN 01/15/2021 CALL \$55.00	HYLN 01/15/21 C 55.000	10/02/20	-1.00	0.00	Merger	
IPOB 05/21/2021 CALL \$22.50	IPOB 05/21/21 C 22.500	12/21/20	-1.00	0.00	Merger	
OPEN 05/21/2021 CALL \$22.50	OPEN 05/21/21 C 22.500	12/21/20	1.00	0.00	Merger	
PFE 11/20/2020 CALL \$39.00	PFE 11/20/20 C 39.000	11/17/20	-1.00	0.00	Merger	
PFE1 11/20/2020 CALL \$39.00	PFE1 11/20/20 C 39.000	11/17/20	1.00	0.00	Merger	
RIDE 01/15/2021 CALL \$25.00	RIDE 01/15/21 C 25.000	10/26/20	2.00	0.00	Merger	
RIDE 01/15/2021 CALL \$30.00	RIDE 01/15/21 C 30.000	10/26/20	-2.00	0.00	Merger	
SHLL 01/15/2021 CALL \$45.00	SHLL 01/15/21 C 45.000	10/02/20	-1.00	0.00	Merger	
SHLL 01/15/2021 CALL \$55.00	SHLL 01/15/21 C 55.000	10/02/20	1.00	0.00	Merger	

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

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

Common Instructions for Recipient

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Instructions for Recipient

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

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

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

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

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

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

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

1099-B Instructions for Recipient

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

1099-MISC Instructions for Recipient

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

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

Line 4. See "Backup Withholding" section.

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

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

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