

APEX CLEARING  
ONE DALLAS CENTER  
350 N. ST PAUL, SUITE 1300  
DALLAS, TX 75201

Account No: 5QZ53154  
Account Name: HARSHAVARDHAN SATTINENI  
Taxpayer Identification Number:\*\*\*-\*\*-3383

Account Executive No: DPA

ORIGINAL: 02/07/2018

IN ACCOUNT WITH  
**ROBINHOOD**  
**(650) 940-2700**

## CONSOLIDATED 2017 FORMS 1099 AND DETAILS

HARSHAVARDHAN SATTINENI  
653 CATAMARAN ST 3  
FOSTER CITY, CA 94404 3040

### YEAR-END MESSAGES

THIS DOCUMENT INCLUDES YOUR CONSOLIDATED FORM 1099 THAT WE ARE REQUIRED TO PROVIDE TO YOU AND THE INTERNAL REVENUE SERVICE. WE SUGGEST THAT YOU SEEK THE ADVICE OF A TAX PROFESSIONAL WHEN PREPARING YOUR RETURN.

PLEASE VERIFY YOUR PERSONAL INFORMATION FOR ACCURACY AND CONTACT YOUR BROKER TO CORRECT ANY DISCREPANCIES. IF YOU OWN MUTUAL FUNDS, REAL ESTATE TRUSTS (REITS), REMIC SECURITIES OR WHFIT'S INCOME DISTRIBUTIONS MAY BE RECLASSIFIED BY THE ISSUER AFTER THE ORIGINAL 1099 IS SENT. IF YOU HOLD THESE SECURITIES YOU MAY RECEIVE A CORRECTED FORM 1099.

IN ADDITION TO THE 1099 INFORMATION, SUPPLEMENTAL DETAILS ARE PROVIDED TO HELP YOU PREPARE YOUR RETURN. ONLY INFORMATION REPORTED ON FORM 1099 IS SENT TO THE IRS.

Your Account did not receive the following Forms:

1099-INT  
1099-OID  
1099-MISC

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**ROBINHOOD**  
**(650) 940-2700**

**RECIPIENT'S Name, Street Address, City, State, and Zip Code**

HARSHAVARDHAN SATTINENI  
653 CATAMARAN ST 3  
FOSTER CITY, CA 94404 3040

**Payer's Federal Identification Number:** 13-2967453

**Payer's Name, Street, City, State, Zip Code:**

APEX CLEARING  
ONE DALLAS CENTER  
350 N. ST PAUL, SUITE 1300  
DALLAS, TX 75201

**Telephone Number:** 214-765-1009

Copy B for recipient

2nd TIN Notice

FATCA Filing Requirement

**2017 CONSOLIDATED FORMS 1099**

FORM 1099-DIV  
IRS Box

**DIVIDENDS AND DISTRIBUTIONS**

OMB NO. 1545-0110

**Amount**

1a.	Total ordinary dividends (includes Box 1b)	\$45.38
1b.	Qualified dividends	\$45.38
2a.	Total capital gain distributions (includes Boxes 2b, 2c, 2d)	\$0.00
2b.	Unrecaptured section 1250 gain	\$0.00
2c.	Section 1202 gain	\$0.00
2d.	Collectibles (28%) gain	\$0.00
3.	Nondividend distributions	\$0.00
<b>4.</b>	<b>Federal income tax withheld</b>	<b>\$0.00</b>
5.	Investment expenses	\$0.00
6.	Foreign tax paid	\$0.00
7.	Foreign country or U.S. possession	-
8.	Cash liquidation distributions	\$0.00
9.	Noncash liquidation distributions	\$0.00
10.	Exempt-interest dividends (includes Box 11)	\$0.00
11.	Specified private activity bond interest dividends (AMT)	\$0.00

THIS IS YOUR FORM 1099 (COPY B FOR RECIPIENT) - PLEASE RETAIN FOR TAX PREPARATION PURPOSES  
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 sanctions may be imposed on you if this income is taxable and the IRS determines that it has not been reported.

**Form 1099-DIV (OMB NO. 1545-0110)**

**Recipient's taxpayer identification number.** For your protection, this form may show only the last four digits of your 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 identification number 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. **Box 1a.** Shows total ordinary dividends that are taxable. Include this amount on line 9a of Form 1040 or 1040A. Also, report it on Schedule B (1040A or 1040), if required. **Box 1b.** Shows the portion of the amount in box 1a that may be eligible for reduced capital gains rates. See Form 1040/1040A instructions for how to determine this amount. Report the eligible amount on line 9b, Form 1040 or 1040A. 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 1040/1040A but treat it as a plan distribution, not as investment income, for any other purpose. **Box 2a.** Shows total capital gain distributions from a regulated investment company or real estate investment trust. Report the amounts shown in box 2a on Schedule D (Form 1040), line 13. But, if no amount is shown in boxes 2c-2d and your only capital gains and losses are capital gain distributions, you may be able to report the amounts shown in box 2a on line 13 of Form 1040 (line 10 of Form 1040A) rather than Schedule D. See the Form 1040/1040A instructions. **Box 2b.** Shows the portion of the amount in box 2a that is unrecaptured section 1250 gain from certain depreciable real property. Report this amount on the Unrecaptured Section 1250 Gain Worksheet-Line 19 in the Schedule D instructions (Form 1040). **Box 2c.** Shows the portion of the amount in box 2a that is section 1202 gain from certain small business stock that may be subject to an exclusion. See the Schedule D (Form 1040) instructions. **Box 2d.** Shows 28% rate gain from sales or exchanges of collectibles. If required, use this amount when completing the 28% Rate Gain Worksheet-Line 18 in the instructions for Schedule D (Form 1040). **Box 3.** Shows the part of the distribution that is nontaxable because it is a return of your cost (or other basis). You must reduce your cost (or other basis) by this amount for figuring gain or loss when you sell your stock. But if you get back all your cost (or other basis), report future distributions as capital gains. See Pub. 550. **Box 4.** Shows backup withholding. A payer must backup withhold on certain payments if you did not give your taxpayer identification number 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. **Box 5.** Shows your share of expenses of a nonpublicly offered regulated investment company, generally a nonpublicly offered mutual fund. If you file Form 1040, you may deduct these expenses on the "Other expenses" line on Schedule A (Form 1040) subject to the 2% limit. This amount is included in box 1a. **Box 6.** Shows the foreign tax that you may be able to claim as a deduction or a credit on Form 1040. See the Form 1040 instructions. **Box 7.** This box should be left blank if a regulated investment company reported the foreign tax shown in box 6. **Boxes 8 and 9.** Shows cash and noncash liquidation distributions. **Box 10.** Shows exempt-interest dividends from a mutual fund or other regulated investment company paid to you during the calendar year. Include this amount on line 8b of Form 1040 or 1040A as tax-exempt interest. This amount may be subject to backup withholding. See box 4. **Box 11.** Shows exempt-interest dividends subject to the alternative minimum tax. This amount is included in box 10. See the Instructions for Form 6251. **Boxes 12-14.** State income tax withheld reporting boxes. **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 2017 General Instructions for Certain Information Returns.

**Form 1099-INT (OMB NO. 1545-0112)**

The information provided may be different for covered and noncovered securities. For a description of covered securities, see the Instructions for Form 8949. For a taxable covered security acquired at a premium, unless you notified the payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to amortize the premium under section 171, or for a tax-exempt covered security acquired at a premium, your payer may report either (1) a net amount of interest that reflects the offset of the amount of interest paid to you by the amount of premium amortization allocable to the payment(s), or (2) a gross amount for both the interest paid to you and the premium amortization allocable to the payment(s). If you did notify your payer that you did not want to amortize the premium on a taxable covered security, then your payer will only report the gross amount of interest paid to you. For a noncovered security acquired at a premium, your payer is only required to report the gross amount of interest paid to you. **Recipient's taxpayer identification number.** For your protection, this form may show only the last four digits of your 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 identification number 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. **Box 1.** Shows taxable interest paid to you during the calendar year by the payer. This does not include interest shown in box 3. May also show the total amount of the credits from clean renewable energy bonds, new clean renewable energy bonds, qualified energy conservation bonds, qualified zone academy bonds, qualified school construction bonds, and build America bonds that must be included in your interest income. These amounts were treated as paid to you during 2017 on the credit allowance dates (March 15, June 15, September 15, and December 15). For more information, see Form 8912. See the instructions above for a taxable covered security acquired at a premium. **Box 2.** Shows interest or principal forfeited because of early withdrawal of time savings. You may deduct this amount to figure your adjusted gross income on your income tax return. See the Instructions for Form 1040 to see where to take the deduction. **Box 3.** Shows interest on U.S. Savings Bonds, Treasury bills, Treasury bonds, and Treasury notes. This may or may not all be taxable. See Pub. 550. This interest is exempt from state and local income taxes. This interest is not included in box 1. See the instructions above for a taxable covered security acquired at a premium. **Box 4.** Shows backup withholding. Generally, a payer must backup withhold if you did not furnish your taxpayer identification number (TIN) or you did not furnish the correct TIN to the payer. See Form W-9. Include this amount on your income tax return as tax withheld. **Box 5.** Any amount shown is your share of investment expenses of a single-class REMIC. If you file Form 1040, you may deduct these expenses on the "Other expenses" line of Schedule A (Form 1040) subject to the 2% limit. This amount is included in box 1. **Box 6.** Shows foreign tax paid. You may be able to claim this tax as a deduction or a credit on your Form 1040. See your Form 1040 instructions. **Box 7.** Shows the country or U.S. possession to which the foreign tax was paid. **Box 8.** Shows tax-exempt interest paid to you during the calendar year by the payer. Report this amount on line 8b of Form 1040 or Form 1040A. This amount may be subject to backup withholding. See box 4. See the instructions above for a tax-exempt covered security acquired at a premium. **Box 9.** Shows tax-exempt interest subject to the alternative minimum tax. This amount is included in box 8. See the Instructions for Form 6251. See the instructions above for a tax-exempt covered security acquired at a premium. **Box 10.** For a taxable or tax-exempt covered security, if you made an election under section 1278(b) to include market discount in income as it accrues and you notified your payer of the election in writing in accordance with Regulations section 1.6045-1(n)(5), shows the market discount that accrued on the debt instrument during the year while held by you, unless it was reported on Form 1099-OID. For a taxable or tax-exempt covered security acquired on or after January 1, 2015, accrued market discount will be calculated on a constant yield basis unless you notified your payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to make a constant yield election for market discount under section 1276(b). Report the accrued market discount on your income tax return as directed in the instructions for Form 1040 or 1040A. Market discount on a tax-exempt security is includible in taxable income as interest income. **Box 11.** For a taxable covered security (other than a U.S. Treasury obligation), shows the amount of premium amortization allocable to the interest payment(s), unless you notified the payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to amortize bond premium under section 171. If an amount is reported in this box, see the Instructions for Form 1040 (Schedule B) to determine the net amount of interest includible in income on Form 1040 with respect to the security. If an amount is not reported in this box for a taxable covered security acquired at a premium and the payer is reporting premium amortization, the payer has reported a net amount of interest in box 1. If the amount in this box is greater than the amount of interest paid on the covered security, see Regulations section 1.171-2(a)(4). **Box 12.** For a U.S. Treasury obligation that is a covered security, shows the amount of premium amortization allocable to the interest payment(s), unless you notified the payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to amortize bond premium under section 171. If an amount is reported in this box, see the Instructions for Form 1040 (Schedule B) to determine the net amount of interest includible in income on Form 1040 with respect to the U.S. Treasury obligation. If an amount is not reported in this box for a U.S. Treasury obligation that is a covered security acquired at a premium and the payer is reporting premium amortization, the payer has reported a net amount of interest in box 3. If the amount in this box is greater than the amount of interest paid on the U.S. Treasury obligation, see Regulations section 1.171-2(a)(4). **Box 13.** For a tax-exempt covered security, shows the amount of premium amortization allocable to the interest payment(s). If an amount is not reported in this box for a tax-exempt covered security acquired at a premium, the payer has reported a net amount of interest in box 8 or 9, whichever is applicable. If the amount in this box is greater than the amount of interest paid on the tax-exempt covered security, the excess is a nondeductible loss. See Regulations section 1.171-2(a)(4)(ii). **Box 14.** Shows CUSIP number(s) for tax-exempt bond(s) on which tax-exempt interest was paid, or tax credit bond(s) on which taxable interest was paid or tax credit was allowed, to you during the calendar year. If blank, no CUSIP number was issued for the bond(s). **Boxes 15-17.** State tax withheld reporting boxes. **Nominees.** If this form includes amounts belonging to another person(s), you are considered a nominee recipient. Complete a Form 1099-INT for each of the other owners showing the income allocable to each. File Copy A of the form with the IRS. Furnish Copy B to each owner. List yourself as the "payer" and the other owner(s) as the "recipient." File Form(s) 1099-INT with Form 1096 with the Internal Revenue Service Center for your area. On Form 1096 list yourself as the "filer." A spouse is not required to file a nominee return to show amounts owned by the other spouse.

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Account No: 5QZ53154  
 Account Name: HARSHAVARDHAN SATTINENI  
 Taxpayer Identification Number:\*\*\*-\*\*-3383  
 Account Executive No: DPA  
 ORIGINAL: 02/07/2018

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**(650) 940-2700**

**FORM 1099-B TOTALS SUMMARY**

**REALIZED GAIN / LOSS SUMMARY**

Refer to Proceeds from Broker and Barter Exchange Transactions for detailed information regarding these summary values. The amounts shown below are for informational purposes only.

<b>SHORT-TERM GAINS OR (LOSSES) - REPORT ON FORM 8949, PART I</b>	<b>PROCEEDS</b>	<b>COST BASIS</b>	<b>MARKET DISCOUNT</b>	<b>WASH SALE LOSS DISALLOWED</b>	<b>REALIZED GAIN OR (LOSS)</b>
Box A (basis reported to IRS)	\$7,997.64	\$9,187.81	\$0.00	\$0.00	(\$1,190.17)
Box A - Ordinary - (basis reported to IRS)	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Box B (basis not reported to IRS)	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Box B - Ordinary - (basis not reported to IRS)	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
<b>Total Short-Term</b>	<b>\$7,997.64</b>	<b>\$9,187.81</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>(\$1,190.17)</b>
<b>LONG-TERM GAINS OR (LOSSES) - REPORT ON FORM 8949, PART II</b>					
Box D (basis reported to IRS)	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Box D - Ordinary - (basis reported to IRS)	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Box E (basis not reported to IRS)	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Box E - Ordinary - (basis not reported to IRS)	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
<b>Total Long-Term</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>
<b>UNKNOWN TERM - CODE (X) REPORT ON FORM 8949 PART I OR PART II</b>					
Box B or Box E (basis not reported to IRS)	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Box B or Box E - Ordinary - (basis not reported to IRS)	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
<b>Total Unknown Term</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>

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Account No: 5QZ53154  
Account Name: HARSHAVARDHAN SATTINENI  
Taxpayer Identification Number: \*\*\*-\*\*-3383  
  
Account Executive No: DPA  
  
ORIGINAL: 02/07/2018

IN ACCOUNT WITH  
**ROBINHOOD**  
**(650) 940-2700**

**RECIPIENT'S Name, Street Address, City, State, and Zip Code**  
HARSHAVARDHAN SATTINENI  
653 CATAMARAN ST 3  
FOSTER CITY, CA 94404 3040

**Payer's Federal Identification Number:** 13-2967453  
**Payer's Name, Street, City, State, Zip Code:**  
APEX CLEARING  
ONE DALLAS CENTER  
350 N. ST PAUL, SUITE 1300  
DALLAS, TX 75201  
**Telephone Number:** 214-765-1009

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 FATCA Filing Requirement

**2017 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS**

**OMB NO. 1545-0715**

The information provided below is in accordance with Federal tax regulations and the IRS instructions that govern our reporting requirements. You should review this information carefully when completing your Form 8949 and Schedule D. There may be instances where our reporting requirements will not be consistent with your particular tax accounting position or elections. For these reasons, the IRS requires us to provide you with this reminder: **Taxpayers are ultimately responsible for the accuracy of their tax returns.**

**Covered Short-Term Gains or Losses on Gross Proceeds**

Report on **Form 8949, Part I** with **Box A** checked

**Box 6:** Gross Proceeds

**Box 5:** Box Not Checked (Covered Security)

**Box 3:** Basis Reported to the IRS

**Box 2:** Type of Gain or Loss - Short-Term

The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS, but may be helpful to complete your return.

Security Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
BRISTOL MYERS SQUIBB CO CUSIP: 110122108	50.00000	01/23/2017	02/24/2017	\$2,813.43	\$2,461.50	\$0.00	\$0.00	\$351.93	
GILEAD SCIENCES INC CUSIP: 375558103	21.00000 1.00000	12/07/2016 12/08/2016	07/19/2017 07/19/2017	\$1,519.94 \$72.36	\$1,514.66 \$71.28	\$0.00 \$0.00	\$0.00 \$0.00	\$5.28 \$1.08	
<b>Subtotals</b>	<b>22.00000</b>			<b>\$1,592.30</b>	<b>\$1,585.94</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$6.36</b>	
***TEVA PHARMACEUTICAL INDUSTRIES LIMITED ADR CUSIP: 881624209	100.00000 100.00000	08/03/2017 08/03/2017	08/09/2017 08/09/2017	\$1,795.95 \$1,795.96	\$2,564.87 \$2,575.50	\$0.00 \$0.00	\$0.00 \$0.00	(\$768.92) (\$779.54)	
<b>Subtotals</b>	<b>200.00000</b>			<b>\$3,591.91</b>	<b>\$5,140.37</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>(\$1,548.46)</b>	
<b>5 ITEMS - TOTAL</b>				<b>\$7,997.64</b>	<b>\$9,187.81</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>(\$1,190.17)</b>	

THIS IS YOUR FORM 1099 (COPY B FOR RECIPIENT) - PLEASE RETAIN FOR TAX PREPARATION PURPOSES  
The above is important tax information and is being furnished to the Internal Revenue Service (except as indicated). If you are required to file a return, a negligence penalty or other sanction may be imposed on you if the income is taxable and the IRS determines that it has not been reported.

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DALLAS, TX 75201

Account No: 5QZ53154  
Account Name: HARSHAVARDHAN SATTINENI  
Taxpayer Identification Number:\*\*\*-\*\*-3383  
  
Account Executive No: DPA  
  
ORIGINAL: 02/07/2018

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**2017 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS, CONTINUED**

**OMB NO. 1545-0715**

**Covered Short-Term Gains or Losses on Gross Proceeds**

Report on **Form 8949, Part I** with **Box A** checked

**Box 6:** Gross Proceeds

**Box 5:** Box Not Checked (Covered Security)

**Box 3:** Basis Reported to the IRS

**Box 2:** Type of Gain or Loss - Short-Term

The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS, but may be helpful to complete your return.

Security Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
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FOOTNOTES

**SHORT SALE** - Short sales covered in December that settle in January will be reported on your Form 1099-B in the year they are settled.

**END OF 2017 FORM 1099-B**

**END OF 2017 CONSOLIDATED FORMS 1099**

**Form 1099-B (OMB No. 1545-0715)**

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.** For your protection, this form may show only the last four digits of your 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 identification number 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 check box on Form 8949.** Indicates where to report this transaction on Form 8949 and Schedule D, and which check box is applicable. See the instructions for your Schedule D and/or Form 8949.

**Box 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).

**Box 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.

**Box 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.

**Box 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 (whichever is applicable) as explained in the Instructions for Schedule D.

**Box 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, Instructions for Schedule D, or Pub. 550 for details.

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

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

**Box 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. Please 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.

**Box 3.** If checked, the basis in box 1e has been reported to the IRS and one or more of the check boxes in box 2 must be checked. If box 3 is checked on Form(s) 1099-B and NO adjustment is required, see the instructions for your Schedule D as you may be able to report your transaction directly on Schedule D. If the Ordinary check box in box 2 is checked, an adjustment may be required.

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

**Box 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.

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

**Box 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 instructions. The broker should advise you of any losses on a separate statement.

**Box 12.** If checked, proceeds are from a transaction involving collectibles.

**Box 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.

**Boxes 14-16.** Shows state(s)/local income tax information.

**Form 1099-B (OMB No. 1545-0715)****Regulated Futures Contracts, Foreign Currency Contracts, and Section 1256 Option Contracts (Boxes 8 Through 11):**

**Box 8.** Shows the profit or (loss) realized on regulated futures, foreign currency, or Section 1256 option contracts closed during 2017.

**Box 9.** Shows any year end adjustment to the profit or (loss) shown in box 8 due to open contracts on December 31, 2016.

**Box 10.** Shows the unrealized profit or (loss) on open contracts held in your account on December 31, 2017. These are considered closed out as of that date. This will become an adjustment reported as unrealized profit or (loss) on open contracts 12/31/2017 in 2018.

**Box 11.** Boxes 8, 9, and 10 are all used to figure the aggregate profit or (loss) on regulated futures, foreign currency, or Section 1256 option contracts for the year. Include this amount on your 2017 Form 6781.

APEX CLEARING  
ONE DALLAS CENTER  
350 N. ST PAUL, SUITE 1300  
DALLAS, TX 75201

Account No: 5QZ53154  
Account Name: HARSHAVARDHAN SATTINENI  
Taxpayer Identification Number:\*\*\*-\*\*-3383  
Account Executive No: DPA  
ORIGINAL: 02/07/2018

IN ACCOUNT WITH  
**ROBINHOOD**  
**(650) 940-2700**

**DETAILS OF 2017 FEES & CHARGES**

Date	Description	CUSIP	Transaction Description	Amount	Additional Information
09/11/2017	***ASTRAZENECA PLC	046353108	ADR FEE	\$0.50	
<b>Total ADR Fees</b>				<b>\$0.50</b>	

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350 N. ST PAUL, SUITE 1300  
DALLAS, TX 75201

Account No: 5QZ53154  
Account Name: HARSHAVARDHAN SATTINENI  
Taxpayer Identification Number:\*\*\*-\*\*-3383  
  
Account Executive No: DPA  
  
ORIGINAL: 02/07/2018

IN ACCOUNT WITH  
**ROBINHOOD**  
**(650) 940-2700**

**DETAILS OF 2017 FORM 1099-DIV**

Date	Security Description	CUSIP	Transaction Description	Amount	Foreign Tax Paid	Federal Tax Withheld	Additional information
09/11/2017	***ASTRAZENECA PLC EACH ADS REPRESENTATIVE	046353108	QUALIFIED DIVIDEND	\$22.50	-	-	
03/30/2017	GILEAD SCIENCES INC	375558103	QUALIFIED DIVIDEND	\$11.44	-	-	
06/29/2017	GILEAD SCIENCES INC	375558103	QUALIFIED DIVIDEND	\$11.44	-	-	
<b>Subtotals</b>				<b>\$22.88</b>			
<b>Total Qualified Dividends (Box 1b included in Box 1a)</b>				<b>\$45.38</b>			
<b>Total Ordinary Dividends (Box 1a)</b>				<b>\$45.38</b>			

APEX CLEARING  
 ONE DALLAS CENTER  
 350 N. ST PAUL, SUITE 1300  
 DALLAS, TX 75201

Account No: 5QZ53154  
 Account Name: HARSHAVARDHAN SATTINENI  
 Taxpayer Identification Number:\*\*\*-\*\*-3383  
 Account Executive No: DPA  
 ORIGINAL: 02/07/2018

IN ACCOUNT WITH  
**ROBINHOOD**  
**(650) 940-2700**

**2017 INVESTMENT DETAILS**

**DETAILS OF 2017 INVESTMENT ACTIVITY**

Date	Security Description	CUSIP	Transaction Description	Quantity	Price	Amount	Additional Information
07/27/2017	***ASTRAZENECA PLC EACH ADS REPRESENTIN	046353108	PURCHASE	50.000	\$29.01	\$1,450.25	
08/07/2017	AVEO PHARMACEUTICALS INC	053588109	PURCHASE	150.000	\$2.65	\$397.50	
08/07/2017	AVEO PHARMACEUTICALS INC	053588109	PURCHASE	850.000	\$2.64	\$2,243.83	
01/23/2017	BRISTOL MYERS SQUIBB CO	110122108	PURCHASE	50.000	\$49.23	\$2,461.50	
02/24/2017	BRISTOL MYERS SQUIBB CO	110122108	SELL	50.000	\$56.27	\$2,813.43	
08/08/2017	DYNAVAX TECHNOLOGIES CORP	268158201	PURCHASE	3.000	\$19.00	\$57.00	
08/08/2017	DYNAVAX TECHNOLOGIES CORP	268158201	PURCHASE	5.000	\$18.95	\$94.75	
08/08/2017	DYNAVAX TECHNOLOGIES CORP	268158201	PURCHASE	42.000	\$19.00	\$798.00	
08/08/2017	DYNAVAX TECHNOLOGIES CORP	268158201	PURCHASE	100.000	\$18.95	\$1,895.00	
07/19/2017	GILEAD SCIENCES INC	375558103	SELL	1.000	\$72.38	\$72.36	
07/19/2017	GILEAD SCIENCES INC	375558103	SELL	21.000	\$72.38	\$1,519.94	
07/27/2017	SYNERGY PHARMACEUTICALS INC	871639308	PURCHASE	800.000	\$4.21	\$3,366.88	
08/03/2017	***TEVA PHARMACEUTICAL INDUSTRIES LIMIT	881624209	PURCHASE	100.000	\$25.65	\$2,564.87	
08/03/2017	***TEVA PHARMACEUTICAL INDUSTRIES LIMIT	881624209	PURCHASE	100.000	\$25.76	\$2,575.50	
08/09/2017	***TEVA PHARMACEUTICAL INDUSTRIES LIMIT	881624209	SELL	200.000	\$17.96	\$3,591.91	

**END OF 2017 DETAILS**

