

<b>Robinhood Securities LLC</b> 500 Colonial Center Parkway Suite 100 Lake Mary, FL 32746 Customer Service: 650-940-2700  PAYER'S TIN: 38-4019216	<b>Tax Information</b> <b>Account 154351514</b>	Statement Date: 02/14/2021 Document ID: 51DB 87C Y0RQ	2020
	Anil kumar Bora 103 Westwood Dr 156 Lafayette, LA 70506  RECIPIENT'S TIN: XXX-XX-2654		

**Summary Information**

<p><b>DIVIDENDS AND DISTRIBUTIONS</b>      <b>2020 1099-DIV*</b>      OMB No. 1545-0110</p> <p>1a- Total ordinary dividends (includes lines 1b, 5)      3.97</p> <p>1b- Qualified dividends      3.97</p> <p>2a- Total capital gain distributions (includes lines 2b, 2c, 2d)      0.00</p> <p>2b- Unrecaptured Section 1250 gain      0.00</p> <p>2c- Section 1202 gain      0.00</p> <p>2d- Collectibles (28%) gain      0.00</p> <p>3- Nondividend distributions      0.00</p> <p><b>4- Federal income tax withheld</b>      <b>0.00</b></p> <p>5- Section 199A dividends      0.00</p> <p>6- Investment expenses      0.00</p> <p>8- Foreign country or US possession:      0.00</p> <p>7- Foreign tax paid:      0.00</p> <p>9- Cash liquidation distributions      0.00</p> <p>10- Noncash liquidation distributions      0.00</p> <p>11- Exempt-interest dividends (includes line 12)      0.00</p> <p>12- Specified private activity bond interest dividends (AMT)      0.00</p>	<p><b>MISCELLANEOUS INCOME</b>      <b>2020 1099-MISC*</b>      OMB No. 1545-0115</p> <p>2- Royalties      0.00</p> <p>3- Other income      0.00</p> <p><b>4- Federal income tax withheld</b>      <b>0.00</b></p> <p>8- Substitute payments in lieu of dividends or interest      0.00</p> <p><b>SECTION 1256 CONTRACTS</b>      <b>2020 1099-B*</b>      OMB No. 1545-0715</p> <p>8- Profit or (loss) realized in 2020 on closed contracts      0.00</p> <p>9- Unrealized profit or (loss) on open contracts-12/31/2019      0.00</p> <p>10- Unrealized profit or (loss) on open contracts-12/31/2020      0.00</p> <p>11- Aggregate profit or (loss) on contracts      0.00</p> <p style="text-align: center;"><i>If applicable, proceeds from sale transactions appear summarized below and are detailed in subsequent sections of this document.</i></p>
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**SUMMARY OF PROCEEDS, GAINS & LOSSES, ADJUSTMENTS AND WITHHOLDING**

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

Term	Form 8949 type	Proceeds	Cost basis	Market discount	Wash sale loss disallowed	Net gain or loss(-)
Short	A (basis reported to the IRS)	52,398.66	47,708.35	0.00	321.16	5,011.47
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
	<b>Total Short-term</b>	<b>52,398.66</b>	<b>47,708.35</b>	<b>0.00</b>	<b>321.16</b>	<b>5,011.47</b>
Long	D (basis reported to the IRS)	8.12	3.94	0.00	0.00	4.18
Long	E (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Long	F (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
	<b>Total Long-term</b>	<b>8.12</b>	<b>3.94</b>	<b>0.00</b>	<b>0.00</b>	<b>4.18</b>
Undetermined	B or E (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Undetermined	C or F (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
	<b>Total Undetermined-term</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
	<b>Grand total</b>	<b>52,406.78</b>	<b>47,712.29</b>	<b>0.00</b>	<b>321.16</b>	<b>5,015.65</b>
<b>Withholding</b>		<b>Amount</b>				
	Federal income tax withheld	0.00				

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

Robinhood Securities LLC

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**Summary Information**

2020

(continued)

02/14/2021

**INTEREST INCOME**

**2020 1099-INT**

OMB No. 1545-0112

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

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

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

**STATE TAX WITHHELD**

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

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

**ORIGINAL ISSUE DISCOUNT AND ADJUSTMENTS**

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

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

**RECONCILIATIONS, FEES, EXPENSES AND EXPENDITURES**

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

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

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**Proceeds from Broker and Barter Exchange Transactions**

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

02/14/2021

Sales transactions are organized into sections according to term (long, short or undetermined) and covered status (covered or noncovered). For tax lots whose term is undetermined, use your historical documents to establish the cost basis and date of purchase. The Box 12, basis is reported to the IRS indicator checkmark, is reflected as being checked in the title of the covered securities pages of Forms 1099-B, short-term and long-term. The title pages of the noncovered securities pages for Forms 1099-B reflect that Box 12 is not being checked, as these securities are not being reported to the IRS.

Several columns include both an amount and a qualifying notation to its right. Where proceeds are the result of an option exercise or assignment, there is indication of whether the amount is N (net of option premium) or G (Gross). Accrued market discount and wash sale loss disallowed appear in the same column, identified by the letters D or W, respectively. Where you are not permitted to recognize a loss, an indication of X (change in control or capital structure) or Z (other corporate action) is used. The change in control condition is reported to the IRS for covered lots. Neither the disallowance of loss due to a corporate action nor the amount of gain or loss is reported to the IRS in any instance.

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

Closing of written options is presented in a distinct manner in accordance with IRS regulation. For these transactions the Cost or other basis (column 1e) is always presented as \$0.00 and the Proceeds (column 1d) is the net of the amount received when the option was written and the cost to close the position.

FATCA filing requirement [ ]

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

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

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
AMERICAN AIRLINES GROUP INC. C OMMON STOCK / CUSIP: 02376R102 / Symbol:							
2 transactions for 05/27/20. Total proceeds and cost reported to the IRS.							
	25.000	278.78	04/23/20	258.47	...	20.31	1 of 2 - Sale <sup>25</sup>
	26.000	289.94	05/04/20	254.54	...	35.40	2 of 2 - Sale <sup>25</sup>
05/27/20	51.000	568.72	Various	513.01	...	55.71	Total of 2 transactions
2 transactions for 06/04/20. Total proceeds and cost reported to the IRS.							
	30.000	447.30	06/04/20	446.70	...	0.60	1 of 2 - Sale <sup>25</sup>
	32.000	515.18	06/04/20	514.56	...	0.62	2 of 2 - Sale <sup>25</sup>
06/04/20	62.000	962.48	Various	961.26	...	1.22	Total of 2 transactions
	<b>Security total:</b>	<b>1,531.20</b>		<b>1,474.27</b>	...	<b>56.93</b>	

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## Proceeds from Broker and Barter Exchange Transactions

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

(continued)

02/14/2021

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

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
APPLE INC. COMMON STOCK / CUSIP: 037833100 / Symbol:							
3 transactions for 10/12/20. Total proceeds and cost reported to the IRS.							
	0.012	1.46	09/08/20	1.43	...	0.03	1 of 3 - Sale <sup>25</sup>
	0.488	58.55	09/08/20	57.64	...	0.91	2 of 3 - Sale <sup>25</sup>
	3.000	360.06	09/08/20	354.57	...	5.49	3 of 3 - Sale <sup>25</sup>
10/12/20	3.500	420.07	Various	413.64	...	6.43	Total of 3 transactions
11/30/20	4.500	534.70	11/23/20	512.77	...	21.93	Sale <sup>25</sup>
	<b>Security total:</b>	<b>954.77</b>		<b>926.41</b>	...	<b>28.36</b>	
AURORA CANNABIS INC. COMMON SH ARES / CUSIP: 05156X884 / Symbol:							
12/04/20	40.000	464.88	11/09/20	458.00	...	6.88	Sale <sup>25</sup>
12/15/20	50.000	496.75	12/09/20	494.45	...	2.30	Sale <sup>25</sup>
	<b>Security total:</b>	<b>961.63</b>		<b>952.45</b>	...	<b>9.18</b>	
AZUL S.A. AMERICAN DEPOSITARY SHARES (EACH REPRESENTING THREE PREFERRED SHARES) / CUSIP: 05501U106 / Symbol:							
09/08/20	28.000	404.32	06/10/20	403.18	...	1.14	Sale <sup>25</sup>
BEYOND MEAT, INC. COMMON STOCK / CUSIP: 08862E109 / Symbol:							
05/20/20	6.000	842.12	03/25/20	457.20	...	384.92	Sale <sup>25</sup>
06/04/20	4.000	559.66	05/27/20	474.76	...	84.90	Sale <sup>25</sup>
08/03/20	4.000	528.73	06/29/20	519.93	...	8.80	Sale <sup>25</sup>
12/18/20	4.000	580.26	11/10/20	498.81	...	81.45	Sale <sup>25</sup>
	<b>Security total:</b>	<b>2,510.77</b>		<b>1,950.70</b>	...	<b>560.07</b>	
BIGCOMMERCE HOLDINGS, INC. SERIES 1 COMMON STOCK / CUSIP: 08975P108 / Symbol:							
12/23/20	7.000	505.66	12/21/20	482.01	...	23.65	Sale <sup>25</sup>
CANOPY GROWTH CORPORATION COMMON SHARES / CUSIP: 138035100 / Symbol:							
06/16/20	18.000	314.95	06/12/20	300.60	...	14.35	Sale <sup>25</sup>
CARNIVAL CORPORATION / CUSIP: 143658300 / Symbol:							
2 transactions for 06/16/20. Total proceeds and cost reported to the IRS.							
	2.000	41.27	05/29/20	31.02	...	10.25	1 of 2 - Sale <sup>25</sup>
	24.000	495.23	06/04/20	449.19	...	46.04	2 of 2 - Sale <sup>25</sup>
06/16/20	26.000	536.50	Various	480.21	...	56.29	Total of 2 transactions

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**Proceeds from Broker and Barter Exchange Transactions**

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

(continued)

02/14/2021

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

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
DATADOG, INC. CLASS A COMMON S TOCK / CUSIP: 23804L103 / Symbol:							
08/03/20	7.000	658.40	06/04/20	489.62	...	168.78	Sale <sup>25</sup>
08/12/20	7.000	543.25	08/10/20	543.62	0.37 W	0.00	Sale <sup>25</sup>
09/23/20	7.000	658.96	09/03/20	546.37	...	112.59	Sale <sup>25</sup>
10/26/20	5.000	499.50	10/22/20	503.24	3.74 W	0.00	Sale <sup>25</sup>
12/03/20	4.000	391.21	11/04/20	388.50	...	2.71	Sale <sup>25</sup>
3 transactions for 12/18/20. Total proceeds and cost reported to the IRS.							
	1.000	108.86	11/04/20	97.12	...	11.74	1 of 3 - Sale <sup>25</sup>
	1.000	108.85	11/04/20	96.38	...	12.47	2 of 3 - Sale <sup>25</sup>
	3.000	326.57	11/10/20	276.00	...	50.57	3 of 3 - Sale <sup>25</sup>
12/18/20	5.000	544.28	Various	469.50	...	74.78	Total of 3 transactions
12/22/20	5.200	567.30	12/21/20	540.32	...	26.98	Sale <sup>25</sup>
<b>Security total:</b>		<b>3,862.90</b>		<b>3,481.17</b>	<b>4.11 W</b>	<b>385.84</b>	
DAVE & BUSTER'S ENTERTAINMENT, INC. COMMON STOCK / CUSIP: 238337109 / Symbol:							
08/27/20	30.000	463.50	08/18/20	417.90	...	45.60	Sale <sup>25</sup>
10/22/20	22.000	455.91	09/18/20	357.01	...	98.90	Sale <sup>25</sup>
2 transactions for 10/26/20. Total proceeds and cost reported to the IRS.							
	11.000	214.06	09/18/20	178.50	...	35.56	1 of 2 - Sale <sup>25</sup>
	34.000	661.62	10/13/20	500.02	...	161.60	2 of 2 - Sale <sup>25</sup>
10/26/20	45.000	875.68	Various	678.52	...	197.16	Total of 2 transactions
11/03/20	20.000	342.80	10/26/20	372.34	29.54 W	0.00	Sale <sup>25</sup>
2 transactions for 11/17/20. Total proceeds and cost reported to the IRS.							
	10.000	237.69	10/26/20	186.17	...	51.52	1 of 2 - Sale <sup>25</sup>
	20.000	475.39	10/28/20	376.34	...	99.05	2 of 2 - Sale <sup>25</sup>
11/17/20	30.000	713.08	Various	562.51	...	150.57	Total of 2 transactions
12/17/20	30.000	841.63	11/20/20	696.42	...	145.21	Sale <sup>25</sup>
2 transactions for 12/22/20. Total proceeds and cost reported to the IRS.							
	0.600	16.94	12/21/20	16.01	...	0.93	1 of 2 - Sale <sup>25</sup>
	31.000	875.11	12/21/20	827.08	...	48.03	2 of 2 - Sale <sup>25</sup>
12/22/20	31.600	892.05	Various	843.09	...	48.96	Total of 2 transactions
12/30/20	30.000	904.78	12/30/20	900.60	...	4.18	Sale <sup>25</sup>
12/31/20	25.000	755.98	12/31/20	698.13	...	57.85	Sale <sup>25</sup>
<b>Security total:</b>		<b>6,245.41</b>		<b>5,526.52</b>	<b>29.54 W</b>	<b>748.43</b>	

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Account 154351514

**Proceeds from Broker and Barter Exchange Transactions**

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

(continued)

02/14/2021

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

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

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
DILLARDS INC. / CUSIP: 254067101 / Symbol:							
2 transactions for 08/05/20. Total proceeds and cost reported to the IRS.							
	20.000	530.40	06/19/20	528.65	...	1.75	1 of 2 - Sale <sup>25</sup>
	0.122	3.23	08/04/20	3.00	...	0.23	2 of 2 - Sale <sup>25</sup>
08/05/20	20.122	533.63	Various	531.65	...	1.98	Total of 2 transactions
08/24/20	20.000	543.78	08/18/20	514.79	...	28.99	Sale <sup>25</sup>
11/02/20	10.000	450.42	10/28/20	449.38	...	1.04	Sale <sup>25</sup>
12/03/20	10.000	540.15	11/12/20	454.18	...	85.97	Sale <sup>25</sup>
	<b>Security total:</b>	<b>2,067.98</b>		<b>1,950.00</b>	...	<b>117.98</b>	
EASTMAN KODAK COMPANY / CUSIP: 277461406 / Symbol:							
08/11/20	30.000	300.00	08/10/20	288.45	...	11.55	Sale <sup>25</sup>
09/01/20	18.000	155.74	08/19/20	145.21	...	10.53	Sale <sup>25</sup>
12/07/20	40.000	488.60	11/06/20	275.50	...	213.10	Sale <sup>25</sup>
	<b>Security total:</b>	<b>944.34</b>		<b>709.16</b>	...	<b>235.18</b>	
ELECTRAMECCANICA VEHICLES CORP. LTD. COMMON STOCK / CUSIP: 284849205 / Symbol:							
2 transactions for 11/05/20. Total proceeds and cost reported to the IRS.							
	50.000	168.75	07/15/20	176.86	...	-8.11	1 of 2 - Sale <sup>25</sup>
	50.000	168.74	10/23/20	129.75	...	38.99	2 of 2 - Sale <sup>25</sup>
11/05/20	100.000	337.49	Various	306.61	...	30.88	Total of 2 transactions
HDFC BANK LIMITED / CUSIP: 40415F101 / Symbol:							
05/27/20	14.000	554.59	03/25/20	490.42	...	64.17	Sale <sup>25</sup>
KANDI TECHNOLOGIES GROUP, INC COMMON STOCK / CUSIP: 483709101 / Symbol:							
11/04/20	20.000	164.05	10/23/20	138.90	...	25.15	Sale <sup>25</sup>
11/04/20	25.000	205.08	08/18/20	220.25	15.17 W	0.00	Sale <sup>25</sup>
2 transactions for 11/13/20. Total proceeds and cost reported to the IRS.							
	25.000	176.79	11/10/20	166.64	...	10.15	1 of 2 - Sale <sup>25</sup>
	20.000	141.43	11/10/20	121.18	...	20.25	2 of 2 - Sale <sup>25</sup>
11/13/20	45.000	318.22	Various	287.82	...	30.40	Total of 2 transactions
	<b>Security total:</b>	<b>687.35</b>		<b>646.97</b>	<b>15.17 W</b>	<b>55.55</b>	

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Robinhood Securities LLC

Account 154351514

## Proceeds from Broker and Barter Exchange Transactions

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

(continued)

02/14/2021

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

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
LIBERTY TRIPADVISOR HOLDINGS, INC. SERIES A COMMON STOCK / CUSIP: 531465102 / Symbol:							
3 transactions for 08/24/20. Total proceeds and cost reported to the IRS.							
	4.000	11.56	06/01/20	10.12	...	1.44	1 of 3 - Sale <sup>25</sup>
	1.000	2.89	06/22/20	1.92	...	0.97	2 of 3 - Sale <sup>25</sup>
	8.000	23.12	06/22/20	15.32	...	7.80	3 of 3 - Sale <sup>25</sup>
08/24/20	13.000	37.57	Various	27.36	...	10.21	Total of 3 transactions
11/09/20	11.000	26.85	09/08/20	25.25	...	1.60	Sale <sup>25</sup>
	<b>Security total:</b>	<b>64.42</b>		<b>52.61</b>	...	<b>11.81</b>	
LIVONGO HEALTH, INC. COMMON STOCK / CUSIP: 539183103 / Symbol:							
06/05/20	6.000	347.85	06/04/20	351.96	...	-4.11	Sale <sup>25</sup>
08/18/20	4.000	522.02	08/05/20	547.59	25.57 W	0.00	Sale <sup>25</sup>
09/28/20	4.000	554.39	08/10/20	484.05	...	70.34	Sale <sup>25</sup>
	<b>Security total:</b>	<b>1,424.26</b>		<b>1,383.60</b>	<b>25.57 W</b>	<b>66.23</b>	
LUCKIN COFFEE INC AMERICAN DEPOSITARY SHARES - SPONSORED / CUSIP: 54951L109 / Symbol:							
2 transactions for 10/07/20. Total proceeds and cost reported to the IRS.							
	80.000	409.58	06/05/20	492.80	...	-83.22	1 of 2 - Sale <sup>25</sup>
	90.000	460.78	06/10/20	349.19	...	111.59	2 of 2 - Sale <sup>25</sup>
10/07/20	170.000	870.36	Various	841.99	...	28.37	Total of 2 transactions
MGM RESORTS INTERNATIONAL / CUSIP: 552953101 / Symbol:							
2 transactions for 08/27/20. Total proceeds and cost reported to the IRS.							
	21.000	484.90	06/05/20	485.10	...	-0.20	1 of 2 - Sale <sup>25</sup>
	1.000	23.10	06/05/20	23.10	...	0.00	2 of 2 - Sale <sup>25</sup>
08/27/20	22.000	508.00	Various	508.20	...	-0.20	Total of 2 transactions
MARATHON OIL CORPORATION / CUSIP: 565849106 / Symbol:							
06/04/20	125.000	755.30	04/21/20	516.25	...	239.05	Sale <sup>25</sup>
MODERNA, INC. COMMON STOCK / CUSIP: 60770K107 / Symbol:							
07/13/20	10.000	717.70	05/27/20	494.00	...	223.70	Sale <sup>25</sup>
07/15/20	5.000	408.15	07/15/20	418.30	10.15 W	0.00	Sale <sup>25</sup>
11/12/20	5.000	427.70	07/20/20	426.70	...	1.00	Sale <sup>25</sup>

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Robinhood Securities LLC

Account 154351514

**Proceeds from Broker and Barter Exchange Transactions**

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

(continued)

02/14/2021

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

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MODERNA, INC. COMMON STOCK / CUSIP: 60770K107 / Symbol: (cont'd)							
<i>5 transactions for 11/16/20. Total proceeds and cost reported to the IRS.</i>							
	0.114	11.28	07/20/20	9.51	...	1.77	1 of 5 - Sale <sup>25</sup>
	0.386	37.94	07/20/20	32.46	...	5.48	2 of 5 - Sale <sup>25</sup>
	0.500	49.12	07/20/20	42.08	...	7.04	3 of 5 - Sale <sup>25</sup>
	0.886	87.03	07/20/20	73.80	...	13.23	4 of 5 - Sale <sup>25</sup>
	2.614	256.81	07/20/20	219.93	...	36.88	5 of 5 - Sale <sup>25</sup>
11/16/20	4.500	442.18	Various	377.78	...	64.40	Total of 5 transactions
	<b>Security total:</b>	<b>1,995.73</b>		<b>1,716.78</b>	<b>10.15 W</b>	<b>289.10</b>	
NIO INC. AMERICAN DEPOSITARY SHARES, EACH REPRESENTING ONE CLASS A ORDINARY SHARE / CUSIP: 62914V106 / Symbol:							
07/13/20	50.000	690.49	06/22/20	378.50	...	311.99	Sale <sup>25</sup>
08/03/20	50.000	673.61	07/14/20	670.75	...	2.86	Sale <sup>25</sup>
08/24/20	35.000	514.83	08/14/20	451.85	...	62.98	Sale <sup>25</sup>
08/26/20	15.000	306.98	08/26/20	306.75	...	0.23	Sale <sup>25</sup>
10/28/20	20.000	530.24	10/26/20	519.00	...	11.24	Sale <sup>25</sup>
<i>2 transactions for 11/12/20. Total proceeds and cost reported to the IRS.</i>							
	3.000	144.09	11/02/20	100.80	...	43.29	1 of 2 - Sale <sup>25</sup>
	4.000	187.26	11/02/20	134.39	...	52.87	2 of 2 - Sale <sup>25</sup>
11/12/20	7.000	331.35	Various	235.19	...	96.16	Total of 2 transactions
<i>2 transactions for 11/20/20. Total proceeds and cost reported to the IRS.</i>							
	8.000	394.18	11/02/20	268.79	...	125.39	1 of 2 - Sale <sup>25</sup>
	8.000	394.18	11/13/20	346.80	...	47.38	2 of 2 - Sale <sup>25</sup>
11/20/20	16.000	788.36	Various	615.59	...	172.77	Total of 2 transactions
	<b>Security total:</b>	<b>3,835.86</b>		<b>3,177.63</b>	...	<b>658.23</b>	
NIKOLA CORPORATION COMMON STOCK / CUSIP: 654110105 / Symbol:							
09/08/20	10.000	491.82	09/03/20	368.70	...	123.12	Sale <sup>25</sup>
10/26/20	25.000	543.31	10/16/20	503.95	...	39.36	Sale <sup>25</sup>
11/17/20	25.000	538.76	10/26/20	527.52	...	11.24	Sale <sup>25</sup>
11/27/20	15.000	428.00	11/25/20	441.70	13.70 W	0.00	Sale <sup>25</sup>
	<b>Security total:</b>	<b>2,001.89</b>		<b>1,841.87</b>	<b>13.70 W</b>	<b>173.72</b>	
OVERSTOCK.COM, INC. COMMON STOCK / CUSIP: 690370101 / Symbol:							
12/15/20	8.000	484.68	12/09/20	464.27	...	20.41	Sale <sup>25</sup>

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Robinhood Securities LLC

Account 154351514

**Proceeds from Broker and Barter Exchange Transactions**

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

(continued)

02/14/2021

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

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PROSHARES ULTRA BLOOMBERG CRUD E OIL / CUSIP: 74347Y888 / Symbol:							
06/16/20	20.000	574.81	06/04/20	534.60	...	40.21	Sale <sup>25</sup>
11/02/20	18.000	419.63	10/29/20	413.78	...	5.85	Sale <sup>25</sup>
12/23/20	15.000	529.09	12/21/20	524.34	...	4.75	Sale <sup>25</sup>
	<b>Security total:</b>	<b>1,523.53</b>		<b>1,472.72</b>	...	<b>50.81</b>	
PUBMATIC, INC. CLASS A COMMON STOCK / CUSIP: 74467Q103 / Symbol:							
12/23/20	15.000	519.58	12/09/20	423.00	...	96.58	Sale <sup>25</sup>
12/31/20	14.000	389.20	12/30/20	381.36	...	7.84	Sale <sup>25</sup>
	<b>Security total:</b>	<b>908.78</b>		<b>804.36</b>	...	<b>104.42</b>	
QUANTUMSCAPE CORPORATION / CUSIP: 74767V109 / Symbol:							
12/04/20	13.000	544.42	12/01/20	488.80	...	55.62	Sale <sup>25</sup>
	2 transactions for 12/09/20. Total proceeds and cost reported to the IRS.						
	5.000	384.00	12/09/20	388.64	4.64 W	0.00	1 of 2 - Sale <sup>25</sup>
	1.000	76.80	12/09/20	77.72	0.92 W	0.00	2 of 2 - Sale <sup>25</sup>
12/09/20	6.000	460.80	Various	466.36	5.56 W	0.00	Total of 2 transactions
	<b>Security total:</b>	<b>1,005.22</b>		<b>955.16</b>	<b>5.56 W</b>	<b>55.62</b>	
SASOL LIMITED / CUSIP: 803866300 / Symbol:							
06/16/20	36.000	318.06	06/12/20	295.56	...	22.50	Sale <sup>25</sup>
	3 transactions for 12/02/20. Total proceeds and cost reported to the IRS.						
	4.000	32.56	11/30/20	30.52	...	2.04	1 of 3 - Sale <sup>25</sup>
	20.000	162.80	11/30/20	152.59	...	10.21	2 of 3 - Sale <sup>25</sup>
	26.000	211.64	11/30/20	198.37	...	13.27	3 of 3 - Sale <sup>25</sup>
12/02/20	50.000	407.00	Various	381.48	...	25.52	Total of 3 transactions
	<b>Security total:</b>	<b>725.06</b>		<b>677.04</b>	...	<b>48.02</b>	
SORRENTO THERAPEUTICS, INC. C OMMON STOCK / CUSIP: 83587F202 / Symbol:							
12/23/20	50.000	408.00	11/24/20	338.50	...	69.50	Sale <sup>25</sup>

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Account 154351514

## Proceeds from Broker and Barter Exchange Transactions

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

(continued)

02/14/2021

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

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STARBUCKS CORPORATION COMMON S TOCK / CUSIP: 855244109 / Symbol:							
2 transactions for 07/15/20. Total proceeds and cost reported to the IRS.							
	0.300	22.43	06/12/20	22.42	...	0.01	1 of 2 - Sale <sup>25</sup>
	5.000	373.80	06/12/20	373.75	...	0.05	2 of 2 - Sale <sup>25</sup>
07/15/20	5.300	396.23	Various	396.17	...	0.06	Total of 2 transactions
TESLA, INC. COMMON STOCK / CUSIP: 88160R101 / Symbol:							
3 transactions for 10/12/20. Total proceeds and cost reported to the IRS.							
	2.000	885.16	09/02/20	878.56	...	6.60	1 of 3 - Sale <sup>25</sup>
	0.360	159.33	09/08/20	128.69	...	30.64	2 of 3 - Sale <sup>25</sup>
	1.000	442.57	09/08/20	357.67	...	84.90	3 of 3 - Sale <sup>25</sup>
10/12/20	3.360	1,487.06	Various	1,364.92	...	122.14	Total of 3 transactions
3 transactions for 10/12/20. Total proceeds and cost reported to the IRS.							
	0.640	283.25	09/01/20	312.24	28.99 W	0.00	1 of 3 - Sale <sup>25</sup>
	2.000	885.15	09/01/20	953.50	68.35 W	0.00	2 of 3 - Sale <sup>25</sup>
	0.360	159.26	09/01/20	175.64	16.38 W	0.00	3 of 3 - Sale <sup>25</sup>
10/12/20	3.000	1,327.66	Various	1,441.38	113.72 W	0.00	Total of 3 transactions
3 transactions for 10/26/20. Total proceeds and cost reported to the IRS.							
	0.360	151.55	10/23/20	164.52	12.97 W	0.00	1 of 3 - Sale <sup>25</sup>
	0.640	269.42	10/23/20	292.34	22.92 W	0.00	2 of 3 - Sale <sup>25</sup>
	1.000	420.98	10/23/20	445.66	24.68 W	0.00	3 of 3 - Sale <sup>25</sup>
10/26/20	2.000	841.95	Various	902.52	60.57 W	0.00	Total of 3 transactions
3 transactions for 11/03/20. Total proceeds and cost reported to the IRS.							
	0.360	152.90	10/30/20	152.64	...	0.26	1 of 3 - Sale <sup>25</sup>
	0.640	271.82	10/30/20	271.21	...	0.61	2 of 3 - Sale <sup>25</sup>
	1.000	424.71	10/30/20	422.14	...	2.57	3 of 3 - Sale <sup>25</sup>
11/03/20	2.000	849.43	Various	845.99	...	3.44	Total of 3 transactions
2 transactions for 11/16/20. Total proceeds and cost reported to the IRS.							
	1.000	447.28	11/10/20	434.03	...	13.25	1 of 2 - Sale <sup>25</sup>
	2.000	894.56	11/10/20	818.70	...	75.86	2 of 2 - Sale <sup>25</sup>
11/16/20	3.000	1,341.84	Various	1,252.73	...	89.11	Total of 2 transactions
	<b>Security total:</b>	<b>5,847.94</b>		<b>5,807.54</b>	<b>174.29 W</b>	<b>214.69</b>	

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Account 154351514

**Proceeds from Broker and Barter Exchange Transactions**

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

(continued)

02/14/2021

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

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TWITTER, INC. / CUSIP: 90184L102 / Symbol:							
12/01/20	12.000	559.72	11/04/20	503.62	...	56.10	Sale <sup>25</sup>
UNITED AIRLINES HOLDINGS, INC. COMMON STOCK / CUSIP: 910047109 / Symbol:							
06/04/20	17.000	616.40	05/29/20	482.10	...	134.30	Sale <sup>25</sup>
09/18/20	15.000	570.99	06/04/20	571.80	0.81 W	0.00	Sale <sup>25</sup>
10/22/20	10.000	370.55	09/23/20	344.63	...	25.92	Sale <sup>25</sup>
10/23/20	5.000	189.72	09/23/20	172.32	...	17.40	Sale <sup>25</sup>
10/30/20	10.000	336.60	10/16/20	344.90	8.30 W	0.00	Sale <sup>25</sup>
<i>2 transactions for 11/09/20. Total proceeds and cost reported to the IRS.</i>							
	5.000	209.20	10/16/20	172.45	...	36.75	1 of 2 - Sale <sup>25</sup>
	5.000	209.20	10/26/20	180.89	...	28.31	2 of 2 - Sale <sup>25</sup>
11/09/20	10.000	418.40	Various	353.34	...	65.06	Total of 2 transactions
<i>3 transactions for 11/17/20. Total proceeds and cost reported to the IRS.</i>							
	2.000	79.59	10/26/20	70.70	...	8.89	1 of 3 - Sale <sup>25</sup>
	5.000	198.97	10/26/20	180.89	...	18.08	2 of 3 - Sale <sup>25</sup>
	10.000	397.95	10/28/20	329.05	...	68.90	3 of 3 - Sale <sup>25</sup>
11/17/20	17.000	676.51	Various	580.64	...	95.87	Total of 3 transactions
	<b>Security total:</b>	<b>3,179.17</b>		<b>2,849.73</b>	<b>9.11 W</b>	<b>338.55</b>	
VIRGIN GALACTIC HOLDINGS, INC. / CUSIP: 92766K106 / Symbol:							
06/04/20	30.000	487.24	05/29/20	507.60	...	-20.36	Sale <sup>25</sup>
NORWEGIAN CRUISE LINE HOLDINGS LTD. ORDINARY SHARES / CUSIP: G66721104 / Symbol:							
07/15/20	22.000	397.80	06/19/20	415.14	17.34 W	0.00	Sale <sup>25</sup>
<i>3 transactions for 08/24/20. Total proceeds and cost reported to the IRS.</i>							
	1.000	16.83	07/17/20	15.99	...	0.84	1 of 3 - Sale <sup>25</sup>
	1.000	16.89	07/17/20	15.99	...	0.90	2 of 3 - Sale <sup>25</sup>
	33.000	555.37	07/17/20	501.60	...	53.77	3 of 3 - Sale <sup>25</sup>
08/24/20	35.000	589.09	Various	533.58	...	55.51	Total of 3 transactions
<i>2 transactions for 08/24/20. Total proceeds and cost reported to the IRS.</i>							
	6.000	101.34	06/19/20	113.22	11.88 W	0.00	1 of 2 - Sale <sup>25</sup>
	20.000	337.80	06/22/20	356.30	4.16 W	-14.34	2 of 2 - Sale <sup>25</sup>
08/24/20	26.000	439.14	Various	469.52	16.04 W	-14.34	Total of 2 transactions

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Account 154351514

**Proceeds from Broker and Barter Exchange Transactions**

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

(continued)

02/14/2021

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NORWEGIAN CRUISE LINE HOLDINGS LTD. ORDINARY SHARES / CUSIP: G66721104 / Symbol: (cont'd)							
<i>3 transactions for 10/22/20. Total proceeds and cost reported to the IRS.</i>							
	0.500	8.79	09/23/20	8.77	...	0.02	1 of 3 - Sale <sup>25</sup>
	5.000	87.90	09/23/20	87.75	...	0.15	2 of 3 - Sale <sup>25</sup>
	4.500	79.12	09/23/20	74.22	...	4.90	3 of 3 - Sale <sup>25</sup>
10/22/20	10.000	175.81	Various	170.74	...	5.07	Total of 3 transactions
<i>2 transactions for 10/30/20. Total proceeds and cost reported to the IRS.</i>							
	30.000	498.29	10/13/20	494.62	...	3.67	1 of 2 - Sale <sup>25</sup>
	12.000	201.01	10/26/20	200.47	...	0.54	2 of 2 - Sale <sup>25</sup>
10/30/20	42.000	699.30	Various	695.09	...	4.21	Total of 2 transactions
<i>2 transactions for 10/30/20. Total proceeds and cost reported to the IRS.</i>							
	0.500	8.30	09/23/20	8.78	0.48 W	0.00	1 of 2 - Sale <sup>25</sup>
	1.500	24.91	10/26/20	25.06	0.10 W	-0.05	2 of 2 - Sale <sup>25</sup>
10/30/20	2.000	33.21	Various	33.84	0.58 W	-0.05	Total of 2 transactions
<i>5 transactions for 11/17/20. Total proceeds and cost reported to the IRS.</i>							
	0.500	10.53	10/26/20	8.35	...	2.18	1 of 5 - Sale <sup>25</sup>
	6.000	126.30	10/26/20	100.24	...	26.06	2 of 5 - Sale <sup>25</sup>
	0.500	10.52	10/28/20	8.18	...	2.34	3 of 5 - Sale <sup>25</sup>
	1.000	21.05	10/28/20	15.50	...	5.55	4 of 5 - Sale <sup>25</sup>
	23.500	494.66	10/28/20	361.85	...	132.81	5 of 5 - Sale <sup>25</sup>
11/17/20	31.500	663.06	Various	494.12	...	168.94	Total of 5 transactions
	<b>Security total:</b>	<b>2,997.41</b>		<b>2,812.03</b>	<b>33.96 W</b>	<b>219.34</b>	
<b>Totals :</b>		<b>52,398.66</b>		<b>47,708.35</b>	<b>321.16 W</b>	<b>5,011.47</b>	

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

Robinhood Securities LLC

Account 154351514

## Proceeds from Broker and Barter Exchange Transactions

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

(continued)

02/14/2021

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

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

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

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

<b>1c- Date sold or disposed</b>	<b>Quantity</b>	<b>1d- Proceeds &amp; 6- Reported (G)ross or (N)et</b>	<b>1b- Date acquired</b>	<b>1e- Cost or other basis</b>	<b>1f- Accrued mkt disc (D) &amp; 1g- Wash sale loss disallowed (W)</b>	<b>7- Loss not allowed (X) also not reported (Z)</b>	<b>Gain or loss(-) &amp; Additional information</b>
ZYNGA INC. CLASS A COMMON STOCK / CUSIP: 98986T108 / Symbol:							
05/20/20	1.000	8.12	05/11/18	3.94	...	4.18	Sale <sup>25</sup>
<b>Totals :</b>		<b>8.12</b>		<b>3.94</b>		<b>4.18</b>	

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

Robinhood Securities LLC

Account 154351514

## Detail for Dividends and Distributions

2020

02/14/2021

This section of your tax information statement contains the payment level detail of your taxable dividends, capital gains distributions, Section 199A dividends, exempt-interest dividends, nondividend distributions and liquidation distributions. Also shown are the fair market values of any taxable stock dividends or noncash liquidation distributions.

Federal, state and foreign tax withheld and investment expenses are presented as negative amounts but do not net against the reportable income totals. All amounts are grouped by security, with the transactions listed in chronological order. Subtotals for each security are provided. For situations in which the tax character of a distribution (or part thereof) is different than at the time it was paid, endnotes are provided for further explanation.

Note that a payment characterized as a "Qualified dividend" is only issuer-qualified.

Security description	CUSIP and/or symbol	State	Date	Amount	Transaction type	Notes
DILLARDS INC.	254067101		08/03/20	3.00	Qualified dividend	
DIREXION DAILY S&P OIL & GAS E XP. & PROD. BULL 2X SHARES	25460G500		06/30/20	0.11	Qualified dividend	
			09/29/20	0.01	Qualified dividend	
			12/30/20	0.79	Qualified dividend	
				<b>0.91</b>	<b>Total Dividends &amp; distributions</b>	
MGM RESORTS INTERNATIONAL	552953101		06/15/20	0.06	Qualified dividend	
				<b>3.97</b>	<b>Total Dividends &amp; distributions</b>	

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

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**Common Instructions for Recipient**

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

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

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

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

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

**Keep tax documents for your records.****1099-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](http://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](http://www.irs.gov/Form1099B).