

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 160869475	Statement Date: 02/14/2021 Document ID: 3C0T M6C 9C18	2020
	Sairam Kannoju 10480 NW 74th St Unit 307 Doral, FL 33178 RECIPIENT'S TIN: XXX-XX-7648		

Summary Information

<p>DIVIDENDS AND DISTRIBUTIONS 2020 1099-DIV* OMB No. 1545-0110</p> <p>1a- Total ordinary dividends (includes lines 1b, 5) 31.99</p> <p>1b- Qualified dividends 31.99</p> <p>2a- Total capital gain distributions (includes lines 2b, 2c, 2d) 0.00</p> <p>2b- Unrecaptured Section 1250 gain 0.00</p> <p>2c- Section 1202 gain 0.00</p> <p>2d- Collectibles (28%) gain 0.00</p> <p>3- Nondividend distributions 0.00</p> <p>4- Federal income tax withheld 0.00</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>MISCELLANEOUS INCOME 2020 1099-MISC* OMB No. 1545-0115</p> <p>2- Royalties 0.00</p> <p>3- Other income 0.00</p> <p>4- Federal income tax withheld 0.00</p> <p>8- Substitute payments in lieu of dividends or interest 0.00</p> <p>SECTION 1256 CONTRACTS 2020 1099-B* OMB No. 1545-0715</p> <p>8- Profit or (loss) realized in 2020 on closed contracts 0.00</p> <p>9- Unrealized profit or (loss) on open contracts-12/31/2019 0.00</p> <p>10- Unrealized profit or (loss) on open contracts-12/31/2020 0.00</p> <p>11- Aggregate profit or (loss) on contracts 0.00</p> <p style="text-align: center;"><i>If applicable, proceeds from sale transactions appear summarized below and are detailed in subsequent sections of this document.</i></p>
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SUMMARY OF PROCEEDS, GAINS & LOSSES, ADJUSTMENTS AND WITHHOLDING

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

Term	Form 8949 type	Proceeds	Cost basis	Market discount	Wash sale loss disallowed	Net gain or loss(-)
Short	A (basis reported to the IRS)	145,922.81	166,052.10	0.00	5,227.79	-14,901.50
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	145,922.81	166,052.10	0.00	5,227.79	-14,901.50
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	145,922.81	166,052.10	0.00	5,227.79	-14,901.50

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 160869475

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)	1.54
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	See detail

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	35.00
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

Robinhood Securities LLC

Account 160869475

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
AAL 07/17/2020 CALL \$23.00 / CUSIP: / Symbol:							
07/17/20	1.000	0.00	06/05/20	195.00	...	-195.00	Option expiration- long call
AAL 11/20/2020 CALL \$15.00 / CUSIP: / Symbol:							
08/11/20	1.000	276.98	08/10/20	251.00	...	25.98	Option sale to close-call ²⁵
AAPL 05/15/2020 CALL \$305.00 / CUSIP: / Symbol:							
05/14/20	1.000	355.98	05/14/20	316.00	...	39.98	Option sale to close-call ²⁵
AAPL 05/15/2020 CALL \$320.00 / CUSIP: / Symbol:							
05/12/20	1.000	314.98	05/12/20	280.00	...	34.98	Option sale to close-call ²⁵
AAPL 05/29/2020 CALL \$317.50 / CUSIP: / Symbol:							
05/26/20	1.000	714.97	05/22/20	475.00	...	239.97	Option sale to close-call ²⁵

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Account 160869475

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
AAPL 06/05/2020 CALL \$315.00 / CUSIP: / Symbol:							
05/28/20	1.000	799.97	05/27/20	582.00	...	217.97	Option sale to close-call ²⁵
AAPL 07/02/2020 CALL \$360.00 / CUSIP: / Symbol:							
06/23/20	1.000	1,159.96	06/22/20	543.00	...	616.96	Option sale to close-call ²⁵
AAPL 07/02/2020 CALL \$370.00 / CUSIP: / Symbol:							
06/25/20	1.000	384.98	06/24/20	355.00	...	29.98	Option sale to close-call ²⁵
06/30/20	1.000	164.98	06/25/20	385.00	...	-220.02	Option sale to close-call ²⁵
	Security total:	549.96		740.00	...	-190.04	
AAPL 07/31/2020 CALL \$410.00 / CUSIP: / Symbol:							
07/13/20	1.000	644.97	07/09/20	465.00	...	179.97	Option sale to close-call ²⁵
AAPL 12/18/2020 CALL \$130.00 / CUSIP: / Symbol:							
	2 transactions for 11/05/20. Total proceeds and cost reported to the IRS.						
	1.000	186.98	08/31/20	1,275.00	1,088.02 W	0.00	1 of 2 - Option sale to close-call ²⁵
	1.000	186.98	09/01/20	1,495.00	1,308.02 W	0.00	2 of 2 - Option sale to close-call ²⁵
11/05/20	2.000	373.96	Various	2,770.00	2,396.04 W	0.00	Total of 2 transactions
	5 transactions for 11/24/20. Total proceeds and cost reported to the IRS.						
	1.000	30.99	09/02/20	1,675.00	...	-1,644.01	1 of 5 - Option sale to close-call ²⁵
	1.000	30.99	09/03/20	1,140.00	...	-1,109.01	2 of 5 - Option sale to close-call ²⁵
	1.000	30.99	09/10/20	570.00	...	-539.01	3 of 5 - Option sale to close-call ²⁵
	1.000	31.00	10/29/20	1,308.02	...	-1,277.02	4 of 5 - Option sale to close-call ²⁵
	1.000	30.99	11/02/20	1,381.02	...	-1,350.03	5 of 5 - Option sale to close-call ²⁵
11/24/20	5.000	154.96	Various	6,074.04	...	-5,919.08	Total of 5 transactions
	Security total:	528.92		8,844.04	2,396.04 W	-5,919.08	
AAPL 12/18/2020 CALL \$135.00 / CUSIP: / Symbol:							
08/31/20	4.000	4,167.89	08/28/20	3,479.00	...	688.89	Option sale to close-call ²⁵
AAPL 12/18/2020 CALL \$540.00 / CUSIP: / Symbol:							
	2 transactions for 08/26/20. Total proceeds and cost reported to the IRS.						
	1.000	3,434.91	08/25/20	3,065.00	...	369.91	1 of 2 - Option sale to close-call ²⁵
	1.000	3,614.91	08/26/20	3,395.00	...	219.91	2 of 2 - Option sale to close-call ²⁵
08/26/20	2.000	7,049.82	Various	6,460.00	...	589.82	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
AMD 05/01/2020 CALL \$59.00 / CUSIP: / Symbol:							
04/22/20	1.000	190.98	04/20/20	315.00	...	-124.02	Option sale to close-call ²⁵
AMD 05/01/2020 CALL \$60.00 / CUSIP: / Symbol:							
04/29/20	1.000	5.98	04/28/20	113.00	...	-107.02	Option sale to close-call ²⁵
AMD 06/19/2020 CALL \$55.00 / CUSIP: / Symbol:							
06/08/20	1.000	104.98	06/04/20	146.00	...	-41.02	Option sale to close-call ²⁵
AMD 10/16/2020 CALL \$85.00 / CUSIP: / Symbol:							
08/12/20	1.000	644.97	08/07/20	780.00	...	-135.03	Option sale to close-call ²⁵
AMD 11/20/2020 CALL \$85.00 / CUSIP: / Symbol:							
08/28/20	1.000	994.96	08/27/20	900.00	...	94.96	Option sale to close-call ²⁵
AMD 12/04/2020 CALL \$79.00 / CUSIP: / Symbol:							
11/11/20	1.000	489.97	11/10/20	375.00	...	114.97	Option sale to close-call ²⁵
APPS 06/19/2020 CALL \$10.00 / CUSIP: / Symbol:							
06/05/20	1.000	44.98	06/04/20	15.00	...	29.98	Option sale to close-call ²⁵
APTV 05/15/2020 CALL \$70.00 / CUSIP: / Symbol:							
	<i>2 transactions for 05/12/20. Total proceeds and cost reported to the IRS.</i>						
	1.000	64.99	05/11/20	90.00	...	-25.01	1 of 2 - Option sale to close-call ²⁵
	1.000	64.99	05/11/20	70.00	...	-5.01	2 of 2 - Option sale to close-call ²⁵
05/12/20	2.000	129.98	Various	160.00	...	-30.02	Total of 2 transactions
AZN 06/19/2020 CALL \$54.50 / CUSIP: / Symbol:							
06/05/20	1.000	139.98	06/04/20	135.00	...	4.98	Option sale to close-call ²⁵
AZN 10/16/2020 CALL \$75.00 / CUSIP: / Symbol:							
07/06/20	1.000	29.98	06/25/20	30.00	...	-0.02	Option sale to close-call ²⁵
BA 08/21/2020 CALL \$245.00 / CUSIP: / Symbol:							
07/13/20	1.000	414.98	06/30/20	555.00	...	-140.02	Option sale to close-call ²⁵
BA 12/18/2020 CALL \$170.00 / CUSIP: / Symbol:							
08/28/20	1.000	2,734.92	08/27/20	2,775.00	...	-40.08	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)

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
BA 12/18/2020 CALL \$400.00 / CUSIP: / Symbol:							
11/24/20	1.000	0.98	06/10/20	434.00	...	-433.02	Option sale to close-call ²⁵
BAC 07/17/2020 CALL \$28.00 / CUSIP: / Symbol:							
07/17/20	1.000	0.00	06/10/20	143.00	...	-143.00	Option expiration- long call
C 07/17/2020 CALL \$62.50 / CUSIP: / Symbol:							
06/25/20	1.000	39.98	06/09/20	260.00	...	-220.02	Option sale to close-call ²⁵
CCL 05/15/2020 CALL \$15.00 / CUSIP: / Symbol:							
05/08/20	1.000	39.98	05/07/20	30.00	...	9.98	Option sale to close-call ²⁵
CCL 05/22/2020 CALL \$15.00 / CUSIP: / Symbol:							
05/14/20	1.000	9.98	05/11/20	60.00	...	-50.02	Option sale to close-call ²⁵
CCL 06/05/2020 CALL \$16.00 / CUSIP: / Symbol:							
06/01/20	1.000	94.98	05/29/20	68.00	...	26.98	Option sale to close-call ²⁵
CCL 07/17/2020 CALL \$25.00 / CUSIP: / Symbol:							
07/01/20	1.000	7.98	06/10/20	185.00	...	-177.02	Option sale to close-call ²⁵
CLDR 11/20/2020 CALL \$12.50 / CUSIP: / Symbol:							
11/20/20	1.000	0.00	08/31/20	238.00	...	-238.00	Option expiration- long call
COST 05/01/2020 CALL \$325.00 / CUSIP: / Symbol:							
2 transactions for 04/29/20. Total proceeds and cost reported to the IRS.							
	2.000	13.99	04/27/20	106.00	...	-92.01	1 of 2 - Option sale to close-call ²⁵
	2.000	13.99	04/27/20	84.00	...	-70.01	2 of 2 - Option sale to close-call ²⁵
04/29/20	4.000	27.98	Various	190.00	...	-162.02	Total of 2 transactions
CRM 11/20/2020 CALL \$200.00 / CUSIP: / Symbol:							
08/25/20	1.000	2,469.93	08/21/20	1,965.00	...	504.93	Option sale to close-call ²⁵
DFS 10/16/2020 CALL \$57.50 / CUSIP: / Symbol:							
08/14/20	1.000	294.98	08/12/20	275.00	...	19.98	Option sale to close-call ²⁵
DOCU 10/16/2020 CALL \$270.00 / CUSIP: / Symbol:							
09/01/20	1.000	3,529.91	09/01/20	3,385.00	...	144.91	Option sale to close-call ²⁵

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

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

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MSFT 03/27/2020 CALL \$190.00 / CUSIP: / Symbol: (cont'd)							
3 transactions for 03/27/20. Total proceeds and cost reported to the IRS.							
	1.000	0.00	02/11/20	865.01	...	-865.01	1 of 3 - Option expiration- long call
	1.000	0.00	02/12/20	695.02	...	-695.02	2 of 3 - Option expiration- long call
	1.000	0.00	02/18/20	430.00	...	-430.00	3 of 3 - Option expiration- long call
03/27/20	3.000	0.00	Various	1,990.03	...	-1,990.03	Total of 3 transactions
	Security total:	749.97		3,260.03	520.03 W	-1,990.03	
MSFT 04/24/2020 CALL \$180.00 / CUSIP: / Symbol:							
04/22/20	1.000	28.98	04/21/20	64.00	...	-35.02	Option sale to close-call ²⁵
MSFT 06/05/2020 CALL \$187.50 / CUSIP: / Symbol:							
05/29/20	1.000	90.98	05/26/20	155.00	...	-64.02	Option sale to close-call ²⁵
MSFT 07/17/2020 CALL \$190.00 / CUSIP: / Symbol:							
06/09/20	1.000	559.97	06/04/20	380.00	...	179.97	Option sale to close-call ²⁵
MSFT 08/21/2020 CALL \$210.00 / CUSIP: / Symbol:							
06/30/20	1.000	591.97	06/23/20	690.00	...	-98.03	Option sale to close-call ²⁵
MSFT 09/18/2020 CALL \$220.00 / CUSIP: / Symbol:							
08/03/20	1.000	639.97	07/22/20	680.00	...	-40.03	Option sale to close-call ²⁵
MSFT 10/16/2020 CALL \$210.00 / CUSIP: / Symbol:							
08/20/20	1.000	1,114.96	08/19/20	1,030.00	...	84.96	Option sale to close-call ²⁵
MYL 05/15/2020 CALL \$18.50 / CUSIP: / Symbol:							
05/11/20	1.000	12.98	05/08/20	41.00	...	-28.02	Option sale to close-call ²⁵
NFLX 05/01/2020 CALL \$460.00 / CUSIP: / Symbol:							
05/01/20	1.000	0.00	04/27/20	110.00	...	-110.00	Option expiration- long call
NIO 01/15/2021 CALL \$19.00 / CUSIP: / Symbol:							
09/01/20	1.000	599.97	08/31/20	510.00	...	89.97	Option sale to close-call ²⁵
NIO 06/19/2020 PUT \$4.50 / CUSIP: / Symbol:							
06/19/20	1.000	0.00	06/03/20	22.00	...	-22.00	Option expiration- long put

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Account 160869475

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2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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NIO 06/19/2020 PUT \$5.00 / CUSIP: / Symbol:							
2 transactions for 06/19/20. Total proceeds and cost reported to the IRS.							
	1.000	0.00	06/03/20	43.00	...	-43.00	1 of 2 - Option expiration- long put
	1.000	0.00	06/03/20	40.00	...	-40.00	2 of 2 - Option expiration- long put
06/19/20	2.000	0.00	Various	83.00	...	-83.00	Total of 2 transactions
NIO 09/18/2020 CALL \$11.00 / CUSIP: / Symbol:							
2 transactions for 08/04/20. Total proceeds and cost reported to the IRS.							
	1.000	404.98	08/03/20	345.00	...	59.98	1 of 2 - Option sale to close-call ²⁵
	1.000	404.99	08/03/20	345.00	...	59.99	2 of 2 - Option sale to close-call ²⁵
08/04/20	2.000	809.97	Various	690.00	...	119.97	Total of 2 transactions
NIO 11/20/2020 CALL \$54.00 / CUSIP: / Symbol:							
11/19/20	1.000	11.98	11/13/20	542.00	...	-530.02	Option sale to close-call ²⁵
NIO 12/04/2020 CALL \$46.00 / CUSIP: / Symbol:							
11/10/20	1.000	411.98	11/05/20	365.00	...	46.98	Option sale to close-call ²⁵
OXY2 09/18/2020 CALL \$25.00 / CUSIP: / Symbol:							
07/02/20	1.000	35.98	06/08/20	335.00	...	-299.02	Option sale to close-call ²⁵
PFE 06/19/2020 CALL \$36.00 / CUSIP: / Symbol:							
06/05/20	1.000	91.98	06/03/20	87.00	...	4.98	Option sale to close-call ²⁵
PTON 06/19/2020 CALL \$46.00 / CUSIP: / Symbol:							
06/08/20	1.000	172.98	06/05/20	224.00	...	-51.02	Option sale to close-call ²⁵
PTON 06/19/2020 CALL \$47.00 / CUSIP: / Symbol:							
06/04/20	1.000	369.98	06/03/20	265.00	...	104.98	Option sale to close-call ²⁵
ROKU 10/16/2020 CALL \$170.00 / CUSIP: / Symbol:							
08/07/20	1.000	1,554.95	08/06/20	1,025.00	...	529.95	Option sale to close-call ²⁵
SBUX 01/15/2021 CALL \$80.00 / CUSIP: / Symbol:							
08/20/20	1.000	444.98	08/19/20	465.00	...	-20.02	Option sale to close-call ²⁵

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SBUX 02/21/2020 CALL \$91.00 / CUSIP: / Symbol:							
2 transactions for 02/13/20. Total proceeds and cost reported to the IRS.							
	2.000	159.98	01/28/20	284.00	62.01 W	-62.01	1 of 2 - Option sale to close-call ²⁵
	1.000	79.98	01/28/20	142.00	62.02 W	0.00	2 of 2 - Option sale to close-call ²⁵
02/13/20	3.000	239.96	Various	426.00	124.03 W	-62.01	Total of 2 transactions
4 transactions for 02/19/20. Total proceeds and cost reported to the IRS.							
	1.000	25.98	01/28/20	204.01	...	-178.03	1 of 4 - Option sale to close-call ²⁵
	1.000	27.99	01/28/20	204.02	...	-176.03	2 of 4 - Option sale to close-call ²⁵
	1.000	27.98	01/28/20	142.00	...	-114.02	3 of 4 - Option sale to close-call ²⁵
	1.000	27.99	01/28/20	142.00	...	-114.01	4 of 4 - Option sale to close-call ²⁵
02/19/20	4.000	109.94	Various	692.03	...	-582.09	Total of 4 transactions
	Security total:	349.90		1,118.03	124.03 W	-644.10	
SNAP 03/20/2020 CALL \$19.00 / CUSIP: / Symbol:							
03/20/20	5.000	0.00	02/04/20	760.00	...	-760.00	Option expiration- long call
SPCE 05/08/2020 PUT \$16.00 / CUSIP: / Symbol:							
2 transactions for 04/28/20. Total proceeds and cost reported to the IRS.							
	1.000	122.99	04/27/20	145.00	...	-22.01	1 of 2 - Option sale to close-put ²⁵
	1.000	122.99	04/27/20	145.00	...	-22.01	2 of 2 - Option sale to close-put ²⁵
04/28/20	2.000	245.98	Various	290.00	...	-44.02	Total of 2 transactions
SWKS 11/20/2020 CALL \$145.00 / CUSIP: / Symbol:							
08/21/20	1.000	1,004.96	08/20/20	960.00	...	44.96	Option sale to close-call ²⁵
SYU 12/04/2020 CALL \$68.50 / CUSIP: / Symbol:							
11/13/20	1.000	294.98	11/11/20	255.00	...	39.98	Option sale to close-call ²⁵
TGT 10/16/2020 CALL \$140.00 / CUSIP: / Symbol:							
08/19/20	1.000	1,129.96	08/17/20	598.00	...	531.96	Option sale to close-call ²⁵
TSLA 09/25/2020 CALL \$520.00 / CUSIP: / Symbol:							
08/31/20	1.000	3,889.90	08/31/20	3,680.00	...	209.90	Option sale to close-call ²⁵
TWTR 05/15/2020 CALL \$32.00 / CUSIP: / Symbol:							
05/15/20	2.000	0.00	05/11/20	28.00	...	-28.00	Option expiration- long call

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UBER 05/22/2020 CALL \$32.00 / CUSIP: / Symbol:							
05/12/20	1.000	230.98	05/12/20	79.00	...	151.98	Option sale to close-call ²⁵
UBER 05/29/2020 CALL \$35.00 / CUSIP: / Symbol:							
05/21/20	1.000	94.98	05/21/20	86.00	...	8.98	Option sale to close-call ²⁵
UBER 06/05/2020 CALL \$36.00 / CUSIP: / Symbol:							
06/03/20	1.000	100.98	06/01/20	93.00	...	7.98	Option sale to close-call ²⁵
UBER 06/19/2020 CALL \$37.00 / CUSIP: / Symbol:							
06/05/20	1.000	211.98	06/04/20	143.00	...	68.98	Option sale to close-call ²⁵
UBER 12/18/2020 CALL \$33.00 / CUSIP: / Symbol:							
08/20/20	1.000	314.98	08/12/20	310.00	...	4.98	Option sale to close-call ²⁵
UBER 12/18/2020 CALL \$35.00 / CUSIP: / Symbol:							
08/11/20	1.000	293.98	08/10/20	274.00	...	19.98	Option sale to close-call ²⁵
USO 01/15/2021 CALL \$30.00 / CUSIP: / Symbol:							
06/19/20	1.000	334.98	06/08/20	380.00	...	-45.02	Option sale to close-call ²⁵
USO 05/01/2020 CALL \$4.50 / CUSIP: / Symbol:							
04/24/20	1.000	1.98	04/20/20	33.00	...	-31.02	Option sale to close-call ²⁵
WFC 01/15/2021 CALL \$40.00 / CUSIP: / Symbol:							
<i>2 transactions for 06/09/20. Total proceeds and cost reported to the IRS.</i>							
	1.000	123.98	06/05/20	122.00	...	1.98	1 of 2 - Option sale to close-call ²⁵
	1.000	129.98	06/05/20	122.00	...	7.98	2 of 2 - Option sale to close-call ²⁵
06/09/20	2.000	253.96	Various	244.00	...	9.96	Total of 2 transactions
11/24/20	1.000	5.98	06/09/20	131.00	...	-125.02	Option sale to close-call ²⁵
	Security total:	259.94		375.00	...	-115.06	
WMT 05/22/2020 CALL \$131.00 / CUSIP: / Symbol:							
05/22/20	1.000	0.00	05/19/20	145.00	...	-145.00	Option expiration- long call
WMT 09/18/2020 CALL \$130.00 / CUSIP: / Symbol:							
08/06/20	1.000	474.97	08/05/20	445.00	...	29.97	Option sale to close-call ²⁵

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WMT 12/18/2020 CALL \$130.00 / CUSIP: / Symbol:							
08/21/20	1.000	829.97	08/20/20	785.00	...	44.97	Option sale to close-call ²⁵
WMT 12/18/2020 CALL \$135.00 / CUSIP: / Symbol:							
09/01/20	1.000	1,464.95	08/31/20	1,035.00	...	429.95	Option sale to close-call ²⁵
WORK 05/01/2020 CALL \$33.50 / CUSIP: / Symbol:							
04/23/20	2.000	29.98	04/20/20	210.00	90.01 W	-90.01	Option sale to close-call ²⁵
04/24/20	1.000	9.98	04/20/20	195.01	...	-185.03	Option sale to close-call ²⁵
	Security total:	39.96		405.01	90.01 W	-275.04	
WORK 06/19/2020 CALL \$40.00 / CUSIP: / Symbol:							
06/19/20	1.000	0.00	06/04/20	250.00	...	-250.00	Option expiration- long call
ZM 04/24/2020 CALL \$195.00 / CUSIP: / Symbol:							
04/24/20	1.000	39.98	04/23/20	30.00	...	9.98	Option sale to close-call ²⁵
ZM 06/19/2020 CALL \$230.00 / CUSIP: / Symbol:							
06/03/20	1.000	1,112.96	06/02/20	1,020.00	...	92.96	Option sale to close-call ²⁵
AMC ENTERTAINMENT HOLDINGS, IN C. / CUSIP: 00165C104 / Symbol:							
04/24/20	10.000	31.25	04/23/20	31.40	0.15 W	0.00	Sale ²⁵
	4 transactions for 05/11/20. Total proceeds and cost reported to the IRS.						
	0.170	1.01	04/29/20	0.77	...	0.24	1 of 4 - Sale ²⁵
	4.018	23.91	04/29/20	18.33	...	5.58	2 of 4 - Sale ²⁵
	5.472	32.56	04/29/20	24.97	...	7.59	3 of 4 - Sale ²⁵
	40.339	240.02	04/29/20	183.40	...	56.62	4 of 4 - Sale ²⁵
05/11/20	50.000	297.50	Various	227.47	...	70.03	Total of 4 transactions
	3 transactions for 05/19/20. Total proceeds and cost reported to the IRS.						
	40.000	192.40	04/29/20	200.00	...	-7.60	1 of 3 - Sale ²⁵
	0.188	0.90	04/29/20	0.86	...	0.04	2 of 3 - Sale ²⁵
	7.000	33.67	04/29/20	31.82	...	1.85	3 of 3 - Sale ²⁵
05/19/20	47.188	226.97	Various	232.68	...	-5.71	Total of 3 transactions
	Security total:	555.72		491.55	0.15 W	64.32	

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ABBOTT LABORATORIES / CUSIP: 002824100 / Symbol:							
<i>7 transactions for 04/20/20. Total proceeds and cost reported to the IRS.</i>							
	0.017	1.61	04/15/20	1.52	...	0.09	1 of 7 - Sale ²⁵
	0.049	4.69	04/15/20	4.43	...	0.26	2 of 7 - Sale ²⁵
	0.168	16.16	04/15/20	15.27	...	0.89	3 of 7 - Sale ²⁵
	0.276	26.61	04/15/20	25.13	...	1.48	4 of 7 - Sale ²⁵
	0.659	63.56	04/15/20	60.04	...	3.52	5 of 7 - Sale ²⁵
	3.000	289.39	04/15/20	273.35	...	16.04	6 of 7 - Sale ²⁵
	9.000	868.18	04/15/20	820.26	...	47.92	7 of 7 - Sale ²⁵
04/20/20	13.168	1,270.20	Various	1,200.00	...	70.20	Total of 7 transactions
ABERCROMBIE & FITCH CO. / CUSIP: 002896207 / Symbol:							
08/05/20	0.308	2.98	06/26/20	3.00	...	-0.02	Sale ²⁵
ADVANCED MICRO DEVICES, INC. C OMMON STOCK / CUSIP: 007903107 / Symbol:							
01/15/20	45.000	2,184.70	01/14/20	2,168.33	...	16.37	Sale ²⁵
AMAZON.COM, INC. COMMON STOCK / CUSIP: 023135106 / Symbol:							
<i>2 transactions for 08/06/20. Total proceeds and cost reported to the IRS.</i>							
	0.008	26.08	05/21/20	20.00	...	6.08	1 of 2 - Sale ²⁵
	0.008	25.93	06/04/20	20.00	...	5.93	2 of 2 - Sale ²⁵
08/06/20	0.016	52.01	Various	40.00	...	12.01	Total of 2 transactions
AMERICAN AIRLINES GROUP INC. C OMMON STOCK / CUSIP: 02376R102 / Symbol:							
<i>3 transactions for 03/11/20. Total proceeds and cost reported to the IRS.</i>							
	48.407	769.74	03/10/20	820.01	...	-50.27	1 of 3 - Sale ²⁵
	0.948	15.08	03/10/20	17.04	...	-1.96	2 of 3 - Sale ²⁵
	1.645	26.16	03/10/20	27.87	...	-1.71	3 of 3 - Sale ²⁵
03/11/20	51.000	810.98	Various	864.92	...	-53.94	Total of 3 transactions
03/11/20	0.948	15.08	03/10/20	16.06	0.98 W	0.00	Sale ²⁵
<i>4 transactions for 06/05/20. Total proceeds and cost reported to the IRS.</i>							
	0.076	1.54	06/04/20	1.15	...	0.39	1 of 4 - Sale ²⁵
	0.243	4.91	06/04/20	3.67	...	1.24	2 of 4 - Sale ²⁵
	0.924	18.63	06/04/20	13.92	...	4.71	3 of 4 - Sale ²⁵

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AMERICAN AIRLINES GROUP INC. C OMMON STOCK / CUSIP: 02376R102 / Symbol: (cont'd)							
	18.000	363.06	06/04/20	271.26	...	91.80	4 of 4 - Sale ²⁵
06/05/20	19.243	388.14	Various	290.00	...	98.14	Total of 4 transactions
06/10/20	2.000	35.26	06/05/20	42.38	7.12 W	0.00	Sale ²⁵
06/19/20	1.000	16.47	06/05/20	21.19	4.72 W	0.00	Sale ²⁵
8 transactions for 08/06/20. Total proceeds and cost reported to the IRS.							
	2.000	25.72	06/05/20	44.98	...	-19.26	1 of 8 - Sale ²⁵
	1.000	12.86	06/05/20	23.65	...	-10.79	2 of 8 - Sale ²⁵
	1.243	15.98	06/05/20	26.34	...	-10.36	3 of 8 - Sale ²⁵
	1.000	12.86	06/05/20	18.93	...	-6.07	4 of 8 - Sale ²⁵
	0.241	3.10	06/05/20	5.11	...	-2.01	5 of 8 - Sale ²⁵
	0.006	0.08	06/05/20	0.13	...	-0.05	6 of 8 - Sale ²⁵
	12.247	157.50	08/05/20	245.65	...	-88.15	7 of 8 - Sale ²⁵
	0.510	6.56	08/05/20	10.23	...	-3.67	8 of 8 - Sale ²⁵
08/06/20	18.247	234.66	Various	375.02	...	-140.36	Total of 8 transactions
2 transactions for 08/06/20. Total proceeds and cost reported to the IRS.							
	15.000	193.35	06/05/20	317.85	101.65 W	-22.85	1 of 2 - Sale ²⁵
	0.510	6.57	06/05/20	10.80	4.23 W	0.00	2 of 2 - Sale ²⁵
08/06/20	15.510	199.92	Various	328.65	105.88 W	-22.85	Total of 2 transactions
	Security total:	1,700.51		1,938.22	118.70 W	-119.01	
APHRIA INC. COMMON SHARES / CUSIP: 03765K104 / Symbol:							
06/10/20	50.000	252.59	06/08/20	251.00	...	1.59	Sale ²⁵
APPLE INC. COMMON STOCK / CUSIP: 037833100 / Symbol:							
4 transactions for 04/02/20. Total proceeds and cost reported to the IRS.							
	0.004	0.92	03/25/20	1.00	0.08 W	0.00	1 of 4 - Sale ²⁵
	0.513	122.03	03/25/20	131.49	9.46 W	0.00	2 of 4 - Sale ²⁵
	0.008	1.85	03/25/20	1.99	0.14 W	0.00	3 of 4 - Sale ²⁵
	1.000	238.03	03/25/20	256.52	18.49 W	0.00	4 of 4 - Sale ²⁵
04/02/20	1.524	362.83	Various	391.00	28.17 W	0.00	Total of 4 transactions
4 transactions for 04/20/20. Total proceeds and cost reported to the IRS.							
	1.000	280.00	04/20/20	300.08	...	-20.08	1 of 4 - Sale ²⁵
	2.988	836.73	04/20/20	841.46	...	-4.73	2 of 4 - Sale ²⁵
	0.008	2.17	04/20/20	2.33	...	-0.16	3 of 4 - Sale ²⁵

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Robinhood Securities LLC

Account 160869475

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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APPLE INC. COMMON STOCK / CUSIP: 037833100 / Symbol: (cont'd)							
	0.022	6.28	04/20/20	6.32	...	-0.04	4 of 4 - Sale ²⁵
04/20/20	4.018	1,125.18	Various	1,150.19	...	-25.01	Total of 4 transactions
	2 transactions for 04/20/20. Total proceeds and cost reported to the IRS.						
	0.513	143.54	04/20/20	153.81	0.58 W	-9.69	1 of 2 - Sale ²⁵
	0.004	1.09	04/20/20	1.17	0.08 W	0.00	2 of 2 - Sale ²⁵
04/20/20	0.517	144.63	Various	154.98	0.66 W	-9.69	Total of 2 transactions
	3 transactions for 09/10/20. Total proceeds and cost reported to the IRS.						
	0.016	1.80	05/14/20	1.26	...	0.54	1 of 3 - Sale ²⁵
	0.116	13.41	05/14/20	9.40	...	4.01	2 of 3 - Sale ²⁵
	0.041	4.79	05/21/20	3.30	...	1.49	3 of 3 - Sale ²⁵
09/10/20	0.173	20.00	Various	13.96	...	6.04	Total of 3 transactions
	Security total:	1,652.64		1,710.13	28.83 W	-28.66	
BP P.L.C. / CUSIP: 055622104 / Symbol:							
04/14/20	19.000	464.74	04/13/20	475.19	...	-10.45	Sale ²⁵
BANK OF AMERICA CORPORATION / CUSIP: 060505104 / Symbol:							
04/24/20	1.000	21.87	04/23/20	22.10	...	-0.23	Sale ²⁵
BOEING COMPANY / CUSIP: 097023105 / Symbol:							
	2 transactions for 03/27/20. Total proceeds and cost reported to the IRS.						
	0.032	5.16	03/26/20	5.67	0.51 W	0.00	1 of 2 - Sale ²⁵
	5.550	905.97	03/26/20	994.33	88.36 W	0.00	2 of 2 - Sale ²⁵
03/27/20	5.581	911.13	Various	1,000.00	88.87 W	0.00	Total of 2 transactions
	3 transactions for 04/07/20. Total proceeds and cost reported to the IRS.						
	0.006	0.91	04/02/20	0.86	...	0.05	1 of 3 - Sale ²⁵
	0.006	0.87	04/02/20	0.73	...	0.14	2 of 3 - Sale ²⁵
	2.983	431.80	04/02/20	361.51	...	70.29	3 of 3 - Sale ²⁵
04/07/20	2.995	433.58	Various	363.10	...	70.48	Total of 3 transactions
	3 transactions for 04/07/20. Total proceeds and cost reported to the IRS.						
	0.007	1.07	03/27/20	1.33	0.26 W	0.00	1 of 3 - Sale ²⁵
	0.032	4.58	03/27/20	5.68	1.10 W	0.00	2 of 3 - Sale ²⁵

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2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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BOEING COMPANY / CUSIP: 097023105 / Symbol: (cont'd)							
	5.536	801.41	03/27/20	992.76	191.35 W	0.00	3 of 3 - Sale ²⁵
04/07/20	5.575	807.06	Various	999.77	192.71 W	0.00	Total of 3 transactions
04/09/20	2.425	366.23	04/07/20	342.14	...	24.09	Sale ²⁵
	9 transactions for 04/09/20. Total proceeds and cost reported to the IRS.						
	0.007	1.12	04/07/20	1.31	0.19 W	0.00	1 of 9 - Sale ²⁵
	0.032	4.78	04/07/20	5.56	0.78 W	0.00	2 of 9 - Sale ²⁵
	0.061	9.20	04/07/20	10.68	1.48 W	0.00	3 of 9 - Sale ²⁵
	0.405	61.27	04/07/20	71.20	9.93 W	0.00	4 of 9 - Sale ²⁵
	0.007	1.12	04/07/20	1.24	0.12 W	0.00	5 of 9 - Sale ²⁵
	0.032	4.78	04/07/20	5.24	0.46 W	0.00	6 of 9 - Sale ²⁵
	0.061	9.19	04/07/20	10.07	0.88 W	0.00	7 of 9 - Sale ²⁵
	0.405	61.22	04/07/20	67.12	5.90 W	0.00	8 of 9 - Sale ²⁵
	5.070	765.65	04/07/20	890.53	124.88 W	0.00	9 of 9 - Sale ²⁵
04/09/20	6.080	918.33	Various	1,062.95	144.62 W	0.00	Total of 9 transactions
	10 transactions for 04/15/20. Total proceeds and cost reported to the IRS.						
	0.006	0.87	04/09/20	1.01	0.14 W	0.00	1 of 10 - Sale ²⁵
	0.032	4.62	04/09/20	5.30	0.68 W	0.00	2 of 10 - Sale ²⁵
	0.001	0.21	04/09/20	0.24	0.03 W	0.00	3 of 10 - Sale ²⁵
	0.061	8.88	04/09/20	10.18	1.30 W	0.00	4 of 10 - Sale ²⁵
	0.169	24.60	04/09/20	28.22	3.62 W	0.00	5 of 10 - Sale ²⁵
	0.006	0.87	04/09/20	1.05	0.18 W	0.00	6 of 10 - Sale ²⁵
	0.032	4.62	04/09/20	5.51	0.89 W	0.00	7 of 10 - Sale ²⁵
	0.237	34.55	04/09/20	39.64	5.09 W	0.00	8 of 10 - Sale ²⁵
	5.070	739.73	04/09/20	899.80	160.07 W	0.00	9 of 10 - Sale ²⁵
	2.656	387.51	04/09/20	405.95	18.44 W	0.00	10 of 10 - Sale ²⁵
04/15/20	8.268	1,206.46	Various	1,396.90	190.44 W	0.00	Total of 10 transactions
	14 transactions for 05/22/20. Total proceeds and cost reported to the IRS.						
	1.653	234.01	04/15/20	275.40	...	-41.39	1 of 14 - Sale ²⁵
	0.687	97.22	04/15/20	114.41	...	-17.19	2 of 14 - Sale ²⁵
	1.289	182.46	04/15/20	183.13	...	-0.67	3 of 14 - Sale ²⁵
	1.347	190.66	04/15/20	191.21	...	-0.55	4 of 14 - Sale ²⁵
	0.016	2.32	04/15/20	2.73	...	-0.41	5 of 14 - Sale ²⁵
	0.020	2.83	04/15/20	2.84	...	-0.01	6 of 14 - Sale ²⁵

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Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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BOEING COMPANY / CUSIP: 097023105 / Symbol: (cont'd)							
	2.391	338.47	04/15/20	323.12	...	15.35	7 of 14 - Sale ²⁵
	0.019	2.65	04/16/20	2.54	...	0.11	8 of 14 - Sale ²⁵
	0.019	2.63	04/16/20	2.52	...	0.11	9 of 14 - Sale ²⁵
	0.668	94.57	04/16/20	90.60	...	3.97	10 of 14 - Sale ²⁵
	3.000	424.67	04/16/20	406.88	...	17.79	11 of 14 - Sale ²⁵
	3.669	519.32	04/16/20	497.46	...	21.86	12 of 14 - Sale ²⁵
	0.019	2.67	04/24/20	2.45	...	0.22	13 of 14 - Sale ²⁵
	1.749	247.53	04/24/20	227.47	...	20.06	14 of 14 - Sale ²⁵
05/22/20	16.545	2,342.01	Various	2,322.76	...	19.25	Total of 14 transactions
	10 transactions for 05/22/20. Total proceeds and cost reported to the IRS.						
	0.237	33.49	04/09/20	36.16	2.67 W	0.00	1 of 10 - Sale ²⁵
	2.713	384.11	04/14/20	480.21	47.26 W	-48.84	2 of 10 - Sale ²⁵
	0.001	0.20	04/14/20	0.24	0.04 W	0.00	3 of 10 - Sale ²⁵
	0.002	0.33	04/14/20	0.39	0.06 W	0.00	4 of 10 - Sale ²⁵
	0.061	8.61	04/14/20	10.14	1.53 W	0.00	5 of 10 - Sale ²⁵
	0.154	21.82	04/14/20	25.72	3.90 W	0.00	6 of 10 - Sale ²⁵
	0.006	0.85	04/14/20	1.05	0.20 W	0.00	7 of 10 - Sale ²⁵
	0.032	4.48	04/14/20	5.49	1.01 W	0.00	8 of 10 - Sale ²⁵
	0.012	1.71	04/14/20	2.02	0.31 W	0.00	9 of 10 - Sale ²⁵
	0.237	33.52	04/14/20	39.52	6.00 W	0.00	10 of 10 - Sale ²⁵
05/22/20	3.455	489.12	Various	600.94	62.98 W	-48.84	Total of 10 transactions
	12 transactions for 06/01/20. Total proceeds and cost reported to the IRS.						
	0.763	110.68	04/24/20	126.34	...	-15.66	1 of 12 - Sale ²⁵
	0.571	82.79	04/24/20	94.50	...	-11.71	2 of 12 - Sale ²⁵
	0.237	34.33	04/24/20	36.80	...	-2.47	3 of 12 - Sale ²⁵
	0.154	22.35	04/24/20	23.95	...	-1.60	4 of 12 - Sale ²⁵
	0.032	4.58	04/24/20	5.12	...	-0.54	5 of 12 - Sale ²⁵
	0.037	5.40	04/24/20	5.79	...	-0.39	6 of 12 - Sale ²⁵
	0.024	3.42	04/24/20	3.66	...	-0.24	7 of 12 - Sale ²⁵
	0.012	1.75	04/24/20	1.88	...	-0.13	8 of 12 - Sale ²⁵
	0.006	0.87	04/24/20	0.98	...	-0.11	9 of 12 - Sale ²⁵
	0.002	0.34	04/24/20	0.37	...	-0.03	10 of 12 - Sale ²⁵
	0.001	0.21	04/24/20	0.23	...	-0.02	11 of 12 - Sale ²⁵

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2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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BOEING COMPANY / CUSIP: 097023105 / Symbol: (cont'd)							
	0.237	34.30	04/24/20	33.44	...	0.86	12 of 12 - Sale ²⁵
06/01/20	2.076	301.02	Various	333.06	...	-32.04	Total of 12 transactions
	Security total:	7,774.94		8,421.62	679.62 W	32.94	
CANNTRUST HLDGS INC COM (CANAD A) / CUSIP: 137800207 / Symbol:							
01/02/20	45.000	42.62	08/13/19	102.11	...	-59.49	Sale ²⁵
CANOPY GROWTH CORPORATION COMM ON SHARES / CUSIP: 138035100 / Symbol:							
05/29/20	20.000	338.00	05/28/20	425.56	...	-87.56	Sale ²⁵
CARNIVAL CORPORATION / CUSIP: 143658300 / Symbol:							
4 transactions for 06/22/20. Total proceeds and cost reported to the IRS.							
	0.003	0.05	04/30/20	0.05	...	0.00	1 of 4 - Sale ²⁵
	0.016	0.27	04/30/20	0.25	...	0.02	2 of 4 - Sale ²⁵
	0.314	5.26	04/30/20	4.98	...	0.28	3 of 4 - Sale ²⁵
	2.000	33.47	04/30/20	31.72	...	1.75	4 of 4 - Sale ²⁵
06/22/20	2.333	39.05	Various	37.00	...	2.05	Total of 4 transactions
CISCO SYSTEMS, INC. COMMON STO CK (DE) / CUSIP: 17275R102 / Symbol:							
4 transactions for 05/14/20. Total proceeds and cost reported to the IRS.							
	7.696	326.76	05/13/20	330.84	...	-4.08	1 of 4 - Sale ²⁵
	0.304	12.92	05/13/20	13.24	...	-0.32	2 of 4 - Sale ²⁵
	0.526	22.33	05/13/20	22.61	...	-0.28	3 of 4 - Sale ²⁵
	0.474	20.13	05/13/20	20.39	...	-0.26	4 of 4 - Sale ²⁵
05/14/20	9.000	382.14	Various	387.08	...	-4.94	Total of 4 transactions
05/14/20	0.304	12.92	05/13/20	13.08	0.16 W	0.00	Sale ²⁵
	Security total:	395.06		400.16	0.16 W	-4.94	
DELTA AIR LINES, INC. / CUSIP: 247361702 / Symbol:							
2 transactions for 04/24/20. Total proceeds and cost reported to the IRS.							
	0.052	1.16	04/21/20	1.20	0.04 W	0.00	1 of 2 - Sale ²⁵
	0.948	21.04	04/21/20	21.70	0.66 W	0.00	2 of 2 - Sale ²⁵
04/24/20	1.000	22.20	Various	22.90	0.70 W	0.00	Total of 2 transactions

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DELTA AIR LINES, INC. / CUSIP: 247361702 / Symbol: (cont'd)							
8 transactions for 04/27/20. Total proceeds and cost reported to the IRS.							
	3.559	81.32	04/21/20	81.50	...	-0.18	1 of 8 - Sale ²⁵
	0.306	7.01	04/21/20	7.00	...	0.01	2 of 8 - Sale ²⁵
	0.507	11.58	04/23/20	11.84	...	-0.26	3 of 8 - Sale ²⁵
	0.439	10.03	04/23/20	10.26	...	-0.23	4 of 8 - Sale ²⁵
	0.050	1.15	04/23/20	1.18	...	-0.03	5 of 8 - Sale ²⁵
	0.002	0.05	04/23/20	0.05	...	0.00	6 of 8 - Sale ²⁵
	3.445	78.72	04/23/20	78.16	...	0.56	7 of 8 - Sale ²⁵
	5.998	137.05	04/23/20	136.43	...	0.62	8 of 8 - Sale ²⁵
04/27/20	14.306	326.91	Various	326.42	...	0.49	Total of 8 transactions
2 transactions for 04/27/20. Total proceeds and cost reported to the IRS.							
	0.052	1.20	04/21/20	1.24	0.04 W	0.00	1 of 2 - Sale ²⁵
	6.000	137.04	04/21/20	137.40	0.36 W	0.00	2 of 2 - Sale ²⁵
04/27/20	6.052	138.24	Various	138.64	0.40 W	0.00	Total of 2 transactions
	Security total:	487.35		487.96	1.10 W	0.49	
FUELCELL ENERGY, INC. COMMON S TOCK / CUSIP: 35952H601 / Symbol:							
2 transactions for 01/22/20. Total proceeds and cost reported to the IRS.							
	500.000	1,049.92	01/21/20	1,274.90	224.98 W	0.00	1 of 2 - Sale ²⁵
	500.000	1,049.91	01/21/20	1,273.40	223.49 W	0.00	2 of 2 - Sale ²⁵
01/22/20	1,000.000	2,099.83	Various	2,548.30	448.47 W	0.00	Total of 2 transactions
6 transactions for 02/10/20. Total proceeds and cost reported to the IRS.							
	279.000	571.91	01/22/20	791.52	...	-219.61	1 of 6 - Sale ²⁵
	150.000	307.47	01/22/20	385.79	...	-78.32	2 of 6 - Sale ²⁵
	46.000	94.29	01/22/20	130.64	...	-36.35	3 of 6 - Sale ²⁵
	21.000	43.05	01/22/20	59.58	...	-16.53	4 of 6 - Sale ²⁵
	15.000	30.75	01/22/20	38.44	...	-7.69	5 of 6 - Sale ²⁵
	35.000	71.74	02/07/20	74.44	...	-2.70	6 of 6 - Sale ²⁵
02/10/20	546.000	1,119.21	Various	1,480.41	...	-361.20	Total of 6 transactions
02/10/20	454.000	930.62	01/22/20	1,289.34	106.67 W	-252.05	Sale ²⁵
02/11/20	135.000	272.69	02/07/20	333.45	...	-60.76	Sale ²⁵
	Security total:	4,422.35		5,651.50	555.14 W	-674.01	

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(continued)

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GARRETT MOTION INC COMMON STOC K / CUSIP: 366505105 / Symbol:							
04/24/20	50.000	203.25	04/23/20	204.23	...	-0.98	Sale ²⁵
GENERAL ELECTRIC COMPANY / CUSIP: 369604103 / Symbol:							
01/16/20	20.000	238.49	01/15/20	237.70	...	0.79	Sale ²⁵
<i>2 transactions for 01/16/20. Total proceeds and cost reported to the IRS.</i>							
	38.000	453.14	01/15/20	454.29	1.15 W	0.00	1 of 2 - Sale ²⁵
	142.000	1,693.30	01/15/20	1,697.67	4.37 W	0.00	2 of 2 - Sale ²⁵
01/16/20	180.000	2,146.44	Various	2,151.96	5.52 W	0.00	Total of 2 transactions
<i>3 transactions for 01/17/20. Total proceeds and cost reported to the IRS.</i>							
	142.000	1,680.52	01/17/20	1,684.94	...	-4.42	1 of 3 - Sale ²⁵
	38.000	449.71	01/17/20	450.88	...	-1.17	2 of 3 - Sale ²⁵
	40.000	473.38	01/17/20	473.40	...	-0.02	3 of 3 - Sale ²⁵
01/17/20	220.000	2,603.61	Various	2,609.22	...	-5.61	Total of 3 transactions
	Security total:	4,988.54		4,998.88	5.52 W	-4.82	
HEXO CORP. / CUSIP: 428304109 / Symbol:							
<i>2 transactions for 06/23/20. Total proceeds and cost reported to the IRS.</i>							
	26.000	21.76	06/10/20	39.33	...	-17.57	1 of 2 - Sale ²⁵
	100.000	83.70	06/17/20	128.28	...	-44.58	2 of 2 - Sale ²⁵
06/23/20	126.000	105.46	Various	167.61	...	-62.15	Total of 2 transactions
06/23/20	300.000	251.12	06/09/20	383.97	55.79 W	-77.06	Sale ²⁵
	Security total:	356.58		551.58	55.79 W	-139.21	
IDEANOMICS, INC. COMMON STOCK / CUSIP: 45166V106 / Symbol:							
<i>7 transactions for 07/09/20. Total proceeds and cost reported to the IRS.</i>							
	49.971	71.70	06/23/20	150.41	...	-78.71	1 of 7 - Sale ²⁵
	52.907	75.92	06/25/20	147.61	...	-71.69	2 of 7 - Sale ²⁵
	19.959	28.64	06/25/20	48.50	...	-19.86	3 of 7 - Sale ²⁵
	0.831	1.19	06/25/20	2.31	...	-1.12	4 of 7 - Sale ²⁵
	0.619	0.89	06/25/20	1.50	...	-0.61	5 of 7 - Sale ²⁵
	0.029	0.04	06/25/20	0.13	...	-0.09	6 of 7 - Sale ²⁵
	71.685	102.86	07/06/20	100.00	...	2.86	7 of 7 - Sale ²⁵
07/09/20	196.000	281.24	Various	450.46	...	-169.22	Total of 7 transactions
07/09/20	0.029	0.04	06/23/20	0.09	0.05 W	0.00	Sale ²⁵

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Robinhood Securities LLC

Account 160869475

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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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
IDEANOMICS, INC. COMMON STOCK / CUSIP: 45166V106 / Symbol: (cont'd)							
Security total:		281.28		450.55		0.05 W	-169.22
INOVIO PHARMACEUTICALS, INC. C OMMON STOCK / CUSIP: 45773H201 / Symbol:							
6 transactions for 03/12/20. Total proceeds and cost reported to the IRS.							
	154.000	1,170.35	03/12/20	1,722.80	...	-552.45	1 of 6 - Sale ²⁵
	127.000	1,047.70	03/12/20	1,420.75	...	-373.05	2 of 6 - Sale ²⁵
	48.000	364.80	03/12/20	536.97	...	-172.17	3 of 6 - Sale ²⁵
	16.000	132.00	03/12/20	178.99	...	-46.99	4 of 6 - Sale ²⁵
	5.000	41.25	03/12/20	55.93	...	-14.68	5 of 6 - Sale ²⁵
	3.000	24.75	03/12/20	33.56	...	-8.81	6 of 6 - Sale ²⁵
03/12/20	353.000	2,780.85	Various	3,949.00	...	-1,168.15	Total of 6 transactions
6 transactions for 03/12/20. Total proceeds and cost reported to the IRS.							
	1.000	8.25	03/12/20	11.19	1.57 W	-1.37	1 of 6 - Sale ²⁵
	4.023	33.19	03/12/20	45.00	11.81 W	0.00	2 of 6 - Sale ²⁵
	32.977	272.06	03/12/20	368.92	96.86 W	0.00	3 of 6 - Sale ²⁵
	1.000	8.25	03/12/20	14.12	5.87 W	0.00	4 of 6 - Sale ²⁵
	3.023	24.94	03/12/20	42.69	17.75 W	0.00	5 of 6 - Sale ²⁵
	6.977	57.56	03/12/20	78.06	20.50 W	0.00	6 of 6 - Sale ²⁵
03/12/20	49.000	404.25	Various	559.98	154.36 W	-1.37	Total of 6 transactions
8 transactions for 03/30/20. Total proceeds and cost reported to the IRS.							
	0.253	2.19	03/12/20	2.83	...	-0.64	1 of 8 - Sale ²⁵
	32.467	280.84	03/26/20	314.18	...	-33.34	2 of 8 - Sale ²⁵
	3.023	26.14	03/26/20	38.12	...	-11.98	3 of 8 - Sale ²⁵
	6.977	60.35	03/26/20	67.53	...	-7.18	4 of 8 - Sale ²⁵
	1.000	8.65	03/26/20	12.61	...	-3.96	5 of 8 - Sale ²⁵
	0.533	4.62	03/26/20	5.17	...	-0.55	6 of 8 - Sale ²⁵
	0.248	2.14	03/26/20	2.40	...	-0.26	7 of 8 - Sale ²⁵
	0.263	2.28	03/26/20	2.54	...	-0.26	8 of 8 - Sale ²⁵
03/30/20	44.763	387.21	Various	445.38	...	-58.17	Total of 8 transactions
3 transactions for 06/24/20. Total proceeds and cost reported to the IRS.							
	0.136	3.44	06/23/20	2.66	...	0.78	1 of 3 - Sale ²⁵
	0.638	16.19	06/23/20	12.55	...	3.64	2 of 3 - Sale ²⁵

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Robinhood Securities LLC

Account 160869475

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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INOVIO PHARMACEUTICALS, INC. C OMMON STOCK / CUSIP: 45773H201 / Symbol: (cont'd)							
	1.226	31.11	06/23/20	24.12	...	6.99	3 of 3 - Sale ²⁵
06/24/20	2.000	50.74	Various	39.33	...	11.41	Total of 3 transactions
06/25/20	15.000	393.75	06/23/20	295.02	...	98.73	Sale ²⁵
07/06/20	1.762	36.63	06/23/20	34.65	...	1.98	Sale ²⁵
	Security total:	4,053.43		5,323.36	154.36 W	-1,115.57	
INTEL CORPORATION COMMON STOCK / CUSIP: 458140100 / Symbol:							
04/24/20	4.000	232.37	04/23/20	223.00	...	9.37	Sale ²⁵
LUCKIN COFFEE INC AMERICAN DEP OSITARY SHARES - SPONSORED / CUSIP: 54951L109 / Symbol:							
06/04/20	47.000	191.76	05/21/20	97.11	...	94.65	Sale ²⁵
06/04/20	55.000	224.40	04/02/20	466.95	229.32 W	-13.23	Sale ²⁵
	2 transactions for 06/05/20. Total proceeds and cost reported to the IRS.						
	50.000	296.00	06/04/20	407.50	...	-111.50	1 of 2 - Sale ²⁵
	1.000	5.92	06/04/20	8.45	...	-2.53	2 of 2 - Sale ²⁵
06/05/20	51.000	301.92	Various	415.95	...	-114.03	Total of 2 transactions
07/02/20	1.000	2.62	06/05/20	10.53	...	-7.91	Sale ²⁵
	Security total:	720.70		990.54	229.32 W	-40.52	
MARATHON OIL CORPORATION / CUSIP: 565849106 / Symbol:							
06/10/20	9.000	66.44	06/05/20	62.08	...	4.36	Sale ²⁵
MICROSOFT CORPORATION COMMON S TOCK / CUSIP: 594918104 / Symbol:							
01/28/20	10.000	1,653.06	11/22/19	1,492.08	...	160.98	Sale ²⁵
	6 transactions for 02/27/20. Total proceeds and cost reported to the IRS.						
	0.181	29.47	11/22/19	27.06	...	2.41	1 of 6 - Sale ²⁵
	3.000	487.68	11/22/19	447.62	...	40.06	2 of 6 - Sale ²⁵
	3.819	620.94	11/22/19	569.77	...	51.17	3 of 6 - Sale ²⁵
	1.000	162.61	12/20/19	156.95	...	5.66	4 of 6 - Sale ²⁵
	1.000	162.61	12/31/19	157.06	...	5.55	5 of 6 - Sale ²⁵
	9.000	1,463.45	12/31/19	1,413.80	...	49.65	6 of 6 - Sale ²⁵
02/27/20	18.000	2,926.76	Various	2,772.26	...	154.50	Total of 6 transactions
02/27/20	10.000	1,626.06	01/24/20	1,647.95	21.89 W	0.00	Sale ²⁵

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Account 160869475

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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MICROSOFT CORPORATION COMMON S TOCK / CUSIP: 594918104 / Symbol: (cont'd)							
6 transactions for 03/03/20. Total proceeds and cost reported to the IRS.							
	0.001	0.17	02/28/20	0.16	...	0.01	1 of 6 - Sale ²⁵
	0.047	7.91	02/28/20	7.40	...	0.51	2 of 6 - Sale ²⁵
	0.144	24.47	02/28/20	22.86	...	1.61	3 of 6 - Sale ²⁵
	0.163	27.72	02/28/20	25.87	...	1.85	4 of 6 - Sale ²⁵
	9.642	1,639.35	02/28/20	1,529.94	...	109.41	5 of 6 - Sale ²⁵
	22.148	3,765.45	02/28/20	3,465.66	...	299.79	6 of 6 - Sale ²⁵
03/03/20	32.145	5,465.07	Various	5,051.89	...	413.18	Total of 6 transactions
9 transactions for 03/10/20. Total proceeds and cost reported to the IRS.							
	0.420	67.33	03/05/20	71.10	3.77 W	0.00	1 of 9 - Sale ²⁵
	0.143	22.85	03/05/20	24.13	1.28 W	0.00	2 of 9 - Sale ²⁵
	0.094	15.08	03/05/20	15.92	0.84 W	0.00	3 of 9 - Sale ²⁵
	0.143	22.85	03/05/20	25.41	2.56 W	0.00	4 of 9 - Sale ²⁵
	0.420	67.33	03/05/20	74.88	7.55 W	0.00	5 of 9 - Sale ²⁵
	0.094	15.10	03/05/20	15.95	0.85 W	0.00	6 of 9 - Sale ²⁵
	0.658	105.35	03/05/20	111.27	5.92 W	0.00	7 of 9 - Sale ²⁵
	0.315	50.47	03/05/20	53.26	2.79 W	0.00	8 of 9 - Sale ²⁵
	1.000	160.30	03/05/20	169.13	8.83 W	0.00	9 of 9 - Sale ²⁵
03/10/20	3.287	526.66	Various	561.05	34.39 W	0.00	Total of 9 transactions
10 transactions for 03/12/20. Total proceeds and cost reported to the IRS.							
	2.625	377.90	03/11/20	405.35	...	-27.45	1 of 10 - Sale ²⁵
	1.000	143.95	03/11/20	163.23	...	-19.28	2 of 10 - Sale ²⁵
	0.658	94.70	03/11/20	107.50	...	-12.80	3 of 10 - Sale ²⁵
	0.226	32.53	03/11/20	38.96	...	-6.43	4 of 10 - Sale ²⁵
	0.315	45.33	03/11/20	51.41	...	-6.08	5 of 10 - Sale ²⁵
	0.165	23.74	03/11/20	28.42	...	-4.68	6 of 10 - Sale ²⁵
	0.143	20.54	03/11/20	24.59	...	-4.05	7 of 10 - Sale ²⁵
	0.094	13.55	03/11/20	15.38	...	-1.83	8 of 10 - Sale ²⁵
	0.094	13.58	03/11/20	15.41	...	-1.83	9 of 10 - Sale ²⁵
	0.030	4.25	03/11/20	5.09	...	-0.84	10 of 10 - Sale ²⁵
03/12/20	5.350	770.07	Various	855.34	...	-85.27	Total of 10 transactions
03/12/20	26.276	3,782.28	03/05/20	4,444.00	32.20 W	-629.52	Sale ²⁵

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Account 160869475

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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MICROSOFT CORPORATION COMMON S TOCK / CUSIP: 594918104 / Symbol: (cont'd)							
3 transactions for 03/13/20. Total proceeds and cost reported to the IRS.							
	1.000	153.77	03/13/20	181.58	...	-27.81	1 of 3 - Sale ²⁵
	0.273	41.98	03/13/20	49.59	...	-7.61	2 of 3 - Sale ²⁵
	0.006	0.88	03/13/20	1.03	...	-0.15	3 of 3 - Sale ²⁵
03/13/20	1.279	196.63	Various	232.20	...	-35.57	Total of 3 transactions
3 transactions for 04/29/20. Total proceeds and cost reported to the IRS.							
	0.006	0.99	04/28/20	0.99	...	0.00	1 of 3 - Sale ²⁵
	0.161	27.74	04/28/20	27.63	...	0.11	2 of 3 - Sale ²⁵
	1.000	172.02	04/28/20	171.38	...	0.64	3 of 3 - Sale ²⁵
04/29/20	1.167	200.75	Various	200.00	...	0.75	Total of 3 transactions
3 transactions for 08/06/20. Total proceeds and cost reported to the IRS.							
	0.109	23.20	05/21/20	20.00	...	3.20	1 of 3 - Sale ²⁵
	0.109	23.36	05/28/20	20.00	...	3.36	2 of 3 - Sale ²⁵
	0.109	23.32	06/04/20	20.00	...	3.32	3 of 3 - Sale ²⁵
08/06/20	0.327	69.88	Various	60.00	...	9.88	Total of 3 transactions
	Security total:	17,217.22		17,316.77	88.48 W	-11.07	
MODERNA, INC. COMMON STOCK / CUSIP: 60770K107 / Symbol:							
06/04/20	10.000	593.57	06/03/20	599.80	...	-6.23	Sale ²⁵
5 transactions for 07/22/20. Total proceeds and cost reported to the IRS.							
	6.549	518.46	07/20/20	527.37	...	-8.91	1 of 5 - Sale ²⁵
	0.360	28.46	07/20/20	29.44	...	-0.98	2 of 5 - Sale ²⁵
	0.091	7.20	07/20/20	7.44	...	-0.24	3 of 5 - Sale ²⁵
	0.000	0.02	07/20/20	0.02	...	0.00	4 of 5 - Sale ²⁵
	0.001	0.07	07/20/20	0.07	...	0.00	5 of 5 - Sale ²⁵
07/22/20	7.000	554.21	Various	564.34	...	-10.13	Total of 5 transactions
2 transactions for 07/22/20. Total proceeds and cost reported to the IRS.							
	0.091	7.20	07/20/20	7.32	0.12 W	0.00	1 of 2 - Sale ²⁵
	0.360	28.46	07/20/20	28.95	0.49 W	0.00	2 of 2 - Sale ²⁵
07/22/20	0.450	35.66	Various	36.27	0.61 W	0.00	Total of 2 transactions
	Security total:	1,183.44		1,200.41	0.61 W	-16.36	

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Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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NIO INC. AMERICAN DEPOSITORY S HARES, EACH REPRESENTING ONE CLASS A ORDINARY SHARE / CUSIP: 62914V106 / Symbol:							
3 transactions for 01/13/20. Total proceeds and cost reported to the IRS.							
	432.000	1,598.31	01/09/20	1,529.24	...	69.07	1 of 3 - Sale ²⁵
	9.000	33.30	01/10/20	31.28	...	2.02	2 of 3 - Sale ²⁵
	220.000	813.95	01/10/20	765.58	...	48.37	3 of 3 - Sale ²⁵
01/13/20	661.000	2,445.56	Various	2,326.10	...	119.46	Total of 3 transactions
3 transactions for 01/13/20. Total proceeds and cost reported to the IRS.							
	1.000	3.70	12/30/19	4.26	0.56 W	0.00	1 of 3 - Sale ²⁵
	1.000	3.70	01/09/20	4.55	0.85 W	0.00	2 of 3 - Sale ²⁵
	17.000	62.90	01/09/20	77.33	14.43 W	0.00	3 of 3 - Sale ²⁵
01/13/20	19.000	70.30	Various	86.14	15.84 W	0.00	Total of 3 transactions
5 transactions for 01/17/20. Total proceeds and cost reported to the IRS.							
	1.000	4.47	01/10/20	4.03	...	0.44	1 of 5 - Sale ²⁵
	49.000	219.02	01/16/20	201.39	...	17.63	2 of 5 - Sale ²⁵
	532.000	2,377.92	01/16/20	2,191.20	...	186.72	3 of 5 - Sale ²⁵
	49.000	225.40	01/17/20	227.66	...	-2.26	4 of 5 - Sale ²⁵
	1.000	4.60	01/17/20	4.66	...	-0.06	5 of 5 - Sale ²⁵
01/17/20	632.000	2,831.41	Various	2,628.94	...	202.47	Total of 5 transactions
6 transactions for 01/17/20. Total proceeds and cost reported to the IRS.							
	1.000	4.47	01/16/20	4.97	0.50 W	0.00	1 of 6 - Sale ²⁵
	17.000	75.99	01/16/20	84.45	8.46 W	0.00	2 of 6 - Sale ²⁵
	1.000	4.60	01/16/20	4.61	0.01 W	0.00	3 of 6 - Sale ²⁵
	482.000	2,217.09	01/17/20	2,239.46	10.81 W	-11.56	4 of 6 - Sale ²⁵
	1.000	4.60	01/17/20	5.15	0.55 W	0.00	5 of 6 - Sale ²⁵
	16.000	73.60	01/17/20	82.30	8.70 W	0.00	6 of 6 - Sale ²⁵
01/17/20	518.000	2,380.35	Various	2,420.94	29.03 W	-11.56	Total of 6 transactions
6 transactions for 02/03/20. Total proceeds and cost reported to the IRS.							
	1.000	3.89	01/17/20	4.65	...	-0.76	1 of 6 - Sale ²⁵
	16.000	62.24	01/31/20	69.02	...	-6.78	2 of 6 - Sale ²⁵
	1.000	3.89	01/31/20	4.32	...	-0.43	3 of 6 - Sale ²⁵
	51.000	198.38	01/31/20	194.63	...	3.75	4 of 6 - Sale ²⁵
	82.000	318.97	01/31/20	312.94	...	6.03	5 of 6 - Sale ²⁵
	100.000	388.99	01/31/20	381.63	...	7.36	6 of 6 - Sale ²⁵
02/03/20	251.000	976.36	Various	967.19	...	9.17	Total of 6 transactions

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(continued)

02/14/2021

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NIO INC. AMERICAN DEPOSITORY S HARES, EACH REPRESENTING ONE CLASS A ORDINARY SHARE / CUSIP: 62914V106 / Symbol: (cont'd)							
3 transactions for 12/22/20. Total proceeds and cost reported to the IRS.							
	3.000	146.08	11/24/20	158.51	...	-12.43	1 of 3 - Sale ²⁵
	0.703	34.20	11/24/20	37.14	...	-2.94	2 of 3 - Sale ²⁵
	0.002	0.07	11/24/20	0.09	...	-0.02	3 of 3 - Sale ²⁵
12/22/20	3.704	180.35	Various	195.74	...	-15.39	Total of 3 transactions
12/22/20	0.081	3.93	11/24/20	4.27	0.01 W	-0.33	Sale ²⁵
	Security total:	8,888.26		8,629.32	44.88 W	303.82	
NETFLIX, INC. COMMON STOCK / CUSIP: 64110L106 / Symbol:							
6 transactions for 03/04/20. Total proceeds and cost reported to the IRS.							
	0.008	2.86	03/03/20	2.77	...	0.09	1 of 6 - Sale ²⁵
	0.064	24.54	03/03/20	23.80	...	0.74	2 of 6 - Sale ²⁵
	0.348	132.69	03/03/20	128.28	...	4.41	3 of 6 - Sale ²⁵
	1.000	381.49	03/03/20	368.95	...	12.54	4 of 6 - Sale ²⁵
	1.287	491.06	03/03/20	476.20	...	14.86	5 of 6 - Sale ²⁵
	10.000	3,814.91	03/03/20	3,800.00	...	14.91	6 of 6 - Sale ²⁵
03/04/20	12.707	4,847.55	Various	4,800.00	...	47.55	Total of 6 transactions
NVIDIA CORPORATION COMMON STOCK / CUSIP: 67066G104 / Symbol:							
2 transactions for 01/10/20. Total proceeds and cost reported to the IRS.							
	1.000	245.30	01/09/20	244.53	...	0.77	1 of 2 - Sale ²⁵
	2.000	490.60	01/09/20	489.06	...	1.54	2 of 2 - Sale ²⁵
01/10/20	3.000	735.90	Various	733.59	...	2.31	Total of 2 transactions
OFFICE DEPOT, INC. COMMON STOCK / CUSIP: 676220106 / Symbol:							
01/17/20	1,000.000	2,520.52	01/17/20	2,529.50	...	-8.98	Sale ²⁵
2 transactions for 03/25/20. Total proceeds and cost reported to the IRS.							
	0.021	0.03	03/24/20	0.03	...	0.00	1 of 2 - Sale ²⁵
	324.675	519.52	03/24/20	499.97	...	19.55	2 of 2 - Sale ²⁵
03/25/20	324.696	519.55	Various	500.00	...	19.55	Total of 2 transactions
	Security total:	3,040.07		3,029.50	...	10.57	

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Robinhood Securities LLC

Account 160869475

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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OPKO HEALTH, INC. COMMON STOCK / CUSIP: 68375N103 / Symbol:							
14 transactions for 03/10/20. Total proceeds and cost reported to the IRS.							
	190.529	314.34	03/06/20	556.34	...	-242.00	1 of 14 - Sale ²⁵
	5.471	9.03	03/06/20	22.79	...	-13.76	2 of 14 - Sale ²⁵
	3.851	6.35	03/06/20	11.24	...	-4.89	3 of 14 - Sale ²⁵
	0.078	0.13	03/06/20	0.33	...	-0.20	4 of 14 - Sale ²⁵
	117.877	194.47	03/10/20	201.57	...	-7.10	5 of 14 - Sale ²⁵
	59.218	97.70	03/10/20	101.26	...	-3.56	6 of 14 - Sale ²⁵
	58.659	96.78	03/10/20	100.31	...	-3.53	7 of 14 - Sale ²⁵
	58.659	96.78	03/10/20	100.31	...	-3.53	8 of 14 - Sale ²⁵
	18.994	31.34	03/10/20	32.48	...	-1.14	9 of 14 - Sale ²⁵
	5.515	9.10	03/10/20	9.43	...	-0.33	10 of 14 - Sale ²⁵
	2.770	4.57	03/10/20	4.74	...	-0.17	11 of 14 - Sale ²⁵
	2.744	4.53	03/10/20	4.69	...	-0.16	12 of 14 - Sale ²⁵
	2.744	4.53	03/10/20	4.69	...	-0.16	13 of 14 - Sale ²⁵
	0.889	1.47	03/10/20	1.52	...	-0.05	14 of 14 - Sale ²⁵
03/10/20	528.000	871.12	Various	1,151.70	...	-280.58	Total of 14 transactions
2 transactions for 03/10/20. Total proceeds and cost reported to the IRS.							
	0.078	0.13	03/06/20	0.23	0.10 W	0.00	1 of 2 - Sale ²⁵
	5.471	9.17	03/06/20	15.98	6.81 W	0.00	2 of 2 - Sale ²⁵
03/10/20	5.550	9.30	Various	16.21	6.91 W	0.00	Total of 2 transactions
	Security total:	880.42		1,167.91	6.91 W	-280.58	
PELTON INTERACTIVE, INC. CLAS S A COMMON STOCK / CUSIP: 70614W100 / Symbol:							
3 transactions for 03/18/20. Total proceeds and cost reported to the IRS.							
	74.000	1,853.65	03/18/20	1,989.12	...	-135.47	1 of 3 - Sale ²⁵
	37.381	936.37	03/18/20	989.82	...	-53.45	2 of 3 - Sale ²⁵
	0.214	5.36	03/18/20	5.67	...	-0.31	3 of 3 - Sale ²⁵
03/18/20	111.595	2,795.38	Various	2,984.61	...	-189.23	Total of 3 transactions
2 transactions for 03/18/20. Total proceeds and cost reported to the IRS.							
	0.358	8.97	03/18/20	9.63	0.23 W	-0.43	1 of 2 - Sale ²⁵
	0.047	1.17	03/18/20	1.25	0.08 W	0.00	2 of 2 - Sale ²⁵
03/18/20	0.405	10.14	Various	10.88	0.31 W	-0.43	Total of 2 transactions

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Account 160869475

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(continued)

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PELTON INTERACTIVE, INC. CLAS S A COMMON STOCK / CUSIP: 70614W100 / Symbol: (cont'd)							
2 transactions for 04/22/20. Total proceeds and cost reported to the IRS.							
	0.047	1.48	03/18/20	1.31	...	0.17	1 of 2 - Sale ²⁵
	0.124	3.91	03/18/20	3.51	...	0.40	2 of 2 - Sale ²⁵
04/22/20	0.170	5.39	Various	4.82	...	0.57	Total of 2 transactions
	Security total:	2,810.91		3,000.31	0.31 W	-189.09	
PLUG POWER, INC. COMMON STOCK / CUSIP: 72919P202 / Symbol:							
2 transactions for 07/09/20. Total proceeds and cost reported to the IRS.							
	19.910	173.86	07/06/20	198.20	...	-24.34	1 of 2 - Sale ²⁵
	0.090	0.79	07/06/20	1.01	...	-0.22	2 of 2 - Sale ²⁵
07/09/20	20.000	174.65	Various	199.21	...	-24.56	Total of 2 transactions
07/09/20	0.090	0.79	07/06/20	0.90	0.11 W	0.00	Sale ²⁵
	Security total:	175.44		200.11	0.11 W	-24.56	
ROKU, INC. CLASS A COMMON STOC K / CUSIP: 77543R102 / Symbol:							
4 transactions for 04/21/20. Total proceeds and cost reported to the IRS.							
	0.028	3.56	04/13/20	2.93	...	0.63	1 of 4 - Sale ²⁵
	0.442	57.17	04/13/20	47.07	...	10.10	2 of 4 - Sale ²⁵
	1.239	152.08	04/20/20	166.55	...	-14.47	3 of 4 - Sale ²⁵
	0.185	22.71	04/20/20	25.80	...	-3.09	4 of 4 - Sale ²⁵
04/21/20	1.894	235.52	Various	242.35	...	-6.83	Total of 4 transactions
3 transactions for 04/21/20. Total proceeds and cost reported to the IRS.							
	0.169	20.69	04/20/20	22.65	1.96 W	0.00	1 of 3 - Sale ²⁵
	0.045	5.52	04/20/20	6.27	0.75 W	0.00	2 of 3 - Sale ²⁵
	0.230	29.75	04/20/20	30.91	1.16 W	0.00	3 of 3 - Sale ²⁵
04/21/20	0.444	55.96	Various	59.83	3.87 W	0.00	Total of 3 transactions
6 transactions for 04/23/20. Total proceeds and cost reported to the IRS.							
	6.000	757.36	04/20/20	806.27	...	-48.91	1 of 6 - Sale ²⁵
	1.000	124.85	04/20/20	134.37	...	-9.52	2 of 6 - Sale ²⁵
	0.169	21.28	04/20/20	24.61	...	-3.33	3 of 6 - Sale ²⁵
	0.208	25.99	04/20/20	27.97	...	-1.98	4 of 6 - Sale ²⁵
	0.154	19.43	04/20/20	20.68	...	-1.25	5 of 6 - Sale ²⁵

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ROKU, INC. CLASS A COMMON STOC K / CUSIP: 77543R102 / Symbol: (cont'd)							
	0.045	5.67	04/20/20	6.79	...	-1.12	6 of 6 - Sale ²⁵
04/23/20	7.576	954.58	Various	1,020.69	...	-66.11	Total of 6 transactions
	Security total:	1,246.06		1,322.87	3.87 W	-72.94	
RYDER SYSTEM, INC. / CUSIP: 783549108 / Symbol:							
04/24/20	2.000	55.44	04/23/20	55.63	...	-0.19	Sale ²⁵
SAEXPLORATION HOLDINGS, INC. C OMMON STOCK / CUSIP: 78636X873 / Symbol:							
02/19/20	200.000	486.00	02/18/20	485.98	...	0.02	Sale ²⁵
STARBUCKS CORPORATION COMMON S TOCK / CUSIP: 855244109 / Symbol:							
5 transactions for 02/24/20. Total proceeds and cost reported to the IRS.							
	0.136	11.49	02/21/20	11.89	0.40 W	0.00	1 of 5 - Sale ²⁵
	0.006	0.47	02/21/20	0.49	0.02 W	0.00	2 of 5 - Sale ²⁵
	0.006	0.47	02/21/20	0.51	0.04 W	0.00	3 of 5 - Sale ²⁵
	0.136	11.47	02/21/20	12.29	0.82 W	0.00	4 of 5 - Sale ²⁵
	0.859	72.61	02/21/20	75.24	2.63 W	0.00	5 of 5 - Sale ²⁵
02/24/20	1.141	96.51	Various	100.42	3.91 W	0.00	Total of 5 transactions
4 transactions for 03/25/20. Total proceeds and cost reported to the IRS.							
	0.859	57.47	03/19/20	56.42	...	1.05	1 of 4 - Sale ²⁵
	14.965	1,001.61	03/19/20	937.36	...	64.25	2 of 4 - Sale ²⁵
	0.081	5.44	03/24/20	5.15	...	0.29	3 of 4 - Sale ²⁵
	15.686	1,049.91	03/24/20	994.85	...	55.06	4 of 4 - Sale ²⁵
03/25/20	31.591	2,114.43	Various	1,993.78	...	120.65	Total of 4 transactions
3 transactions for 03/25/20. Total proceeds and cost reported to the IRS.							
	0.084	5.62	03/19/20	5.77	0.15 W	0.00	1 of 3 - Sale ²⁵
	0.006	0.38	03/19/20	0.39	0.01 W	0.00	2 of 3 - Sale ²⁵
	0.052	3.47	03/19/20	3.55	0.08 W	0.00	3 of 3 - Sale ²⁵
03/25/20	0.141	9.47	Various	9.71	0.24 W	0.00	Total of 3 transactions
5 transactions for 04/09/20. Total proceeds and cost reported to the IRS.							
	0.006	0.43	03/26/20	0.41	...	0.02	1 of 5 - Sale ²⁵
	0.006	0.41	03/26/20	0.39	...	0.02	2 of 5 - Sale ²⁵
	0.046	3.32	03/26/20	3.15	...	0.17	3 of 5 - Sale ²⁵
	0.084	6.08	03/26/20	5.80	...	0.28	4 of 5 - Sale ²⁵

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STARBUCKS CORPORATION COMMON S TOCK / CUSIP: 855244109 / Symbol: (cont'd)							
	29.574	2,141.39	03/26/20	1,990.49	...	150.90	5 of 5 - Sale ²⁵
04/09/20	29.715	2,151.63	Various	2,000.24	...	151.39	Total of 5 transactions
<i>8 transactions for 05/22/20. Total proceeds and cost reported to the IRS.</i>							
	0.100	7.81	04/09/20	7.36	...	0.45	1 of 8 - Sale ²⁵
	0.133	10.35	04/09/20	9.76	...	0.59	2 of 8 - Sale ²⁵
	0.294	22.74	04/09/20	21.62	...	1.12	3 of 8 - Sale ²⁵
	1.767	137.66	04/09/20	129.76	...	7.90	4 of 8 - Sale ²⁵
	24.939	1,926.73	04/09/20	1,831.50	...	95.23	5 of 8 - Sale ²⁵
	0.026	2.04	04/13/20	1.87	...	0.17	6 of 8 - Sale ²⁵
	0.035	2.68	04/13/20	2.46	...	0.22	7 of 8 - Sale ²⁵
	7.000	540.81	04/13/20	495.67	...	45.14	8 of 8 - Sale ²⁵
05/22/20	34.294	2,650.82	Various	2,500.00	...	150.82	Total of 8 transactions
	Security total:	7,022.86		6,604.15	4.15 W	422.86	
SUNDIAL GROWERS INC. COMMON SH ARES / CUSIP: 86730L109 / Symbol:							
<i>6 transactions for 05/22/20. Total proceeds and cost reported to the IRS.</i>							
	1,000.000	980.05	05/22/20	990.00	...	-9.95	1 of 6 - Sale ²⁵
	100.000	115.99	05/22/20	99.99	...	16.00	2 of 6 - Sale ²⁵
	100.000	115.99	05/22/20	99.99	...	16.00	3 of 6 - Sale ²⁵
	100.000	115.99	05/22/20	99.99	...	16.00	4 of 6 - Sale ²⁵
	200.000	231.98	05/22/20	199.98	...	32.00	5 of 6 - Sale ²⁵
	500.000	579.92	05/22/20	499.95	...	79.97	6 of 6 - Sale ²⁵
05/22/20	2,000.000	2,139.92	Various	1,989.90	...	150.02	Total of 6 transactions
TARGET CORPORATION / CUSIP: 87612E106 / Symbol:							
01/02/20	4.000	503.38	12/20/19	514.93	...	-11.55	Sale ²⁵
TENCENT HOLDINGS LIMITED UNSPO NSORED ADR REPRESENTING B SHAR ES (CAYMAN ISLANDS) / CUSIP: 88032Q109 / Symbol:							
06/02/20	10.000	558.78	06/01/20	549.00	...	9.78	Sale ²⁵
TESLA, INC. COMMON STOCK / CUSIP: 88160R101 / Symbol:							
08/25/20	0.111	222.42	08/24/20	236.00	13.58 W	0.00	Sale ²⁵
<i>7 transactions for 09/02/20. Total proceeds and cost reported to the IRS.</i>							
	3.000	1,381.55	09/01/20	1,436.82	...	-55.27	1 of 7 - Sale ²⁵

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TESLA, INC. COMMON STOCK / CUSIP: 88160R101 / Symbol: (cont'd)							
	3.314	1,554.00	09/01/20	1,587.34	...	-33.34	2 of 7 - Sale ²⁵
	0.111	52.02	09/01/20	66.72	...	-14.70	3 of 7 - Sale ²⁵
	0.365	167.89	09/01/20	174.60	...	-6.71	4 of 7 - Sale ²⁵
	0.318	146.31	09/01/20	152.15	...	-5.84	5 of 7 - Sale ²⁵
	0.197	92.37	09/01/20	94.35	...	-1.98	6 of 7 - Sale ²⁵
	0.003	1.53	09/01/20	1.60	...	-0.07	7 of 7 - Sale ²⁵
09/02/20	7.308	3,395.67	Various	3,513.58	...	-117.91	Total of 7 transactions
	Security total:	3,618.09		3,749.58	13.58 W	-117.91	
UBER TECHNOLOGIES, INC. / CUSIP: 90353T100 / Symbol:							
02/07/20	7.000	273.00	02/06/20	266.00	...	7.00	Sale ²⁵
	5 transactions for 02/27/20. Total proceeds and cost reported to the IRS.						
	0.389	12.81	02/24/20	15.07	2.26 W	0.00	1 of 5 - Sale ²⁵
	0.076	2.51	02/24/20	2.95	0.44 W	0.00	2 of 5 - Sale ²⁵
	0.076	2.51	02/24/20	3.39	0.88 W	0.00	3 of 5 - Sale ²⁵
	0.389	12.81	02/24/20	17.34	4.53 W	0.00	4 of 5 - Sale ²⁵
	14.535	479.15	02/24/20	563.94	84.79 W	0.00	5 of 5 - Sale ²⁵
02/27/20	15.465	509.79	Various	602.69	92.90 W	0.00	Total of 5 transactions
	6 transactions for 03/25/20. Total proceeds and cost reported to the IRS.						
	0.037	0.97	03/19/20	0.96	...	0.01	1 of 6 - Sale ²⁵
	0.025	0.67	03/19/20	0.65	...	0.02	2 of 6 - Sale ²⁵
	0.020	0.54	03/19/20	0.52	...	0.02	3 of 6 - Sale ²⁵
	11.631	309.63	03/19/20	308.24	...	1.39	4 of 6 - Sale ²⁵
	2.879	76.64	03/19/20	74.82	...	1.82	5 of 6 - Sale ²⁵
	2.000	53.24	03/19/20	40.32	...	12.92	6 of 6 - Sale ²⁵
03/25/20	16.592	441.69	Various	425.51	...	16.18	Total of 6 transactions
	5 transactions for 03/25/20. Total proceeds and cost reported to the IRS.						
	0.037	0.97	03/19/20	1.19	0.22 W	0.00	1 of 5 - Sale ²⁵
	0.020	0.55	03/19/20	0.66	0.11 W	0.00	2 of 5 - Sale ²⁵
	0.039	1.04	03/19/20	1.26	0.22 W	0.00	3 of 5 - Sale ²⁵
	0.076	2.02	03/19/20	2.45	0.43 W	0.00	4 of 5 - Sale ²⁵
	0.293	7.79	03/19/20	9.46	1.67 W	0.00	5 of 5 - Sale ²⁵
03/25/20	0.465	12.37	Various	15.02	2.65 W	0.00	Total of 5 transactions
04/09/20	18.399	490.40	03/26/20	489.16	...	1.24	Sale ²⁵

* 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 160869475

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
UBER TECHNOLOGIES, INC. / CUSIP: 90353T100 / Symbol: (cont'd)							
4 transactions for 04/09/20. Total proceeds and cost reported to the IRS.							
	0.039	1.04	03/26/20	1.26	0.22 W	0.00	1 of 4 - Sale ²⁵
	0.055	1.47	03/26/20	1.79	0.32 W	0.00	2 of 4 - Sale ²⁵
	0.076	2.03	03/26/20	2.45	0.42 W	0.00	3 of 4 - Sale ²⁵
	0.237	6.32	03/26/20	7.66	1.34 W	0.00	4 of 4 - Sale ²⁵
04/09/20	0.408	10.86	Various	13.16	2.30 W	0.00	Total of 4 transactions
3 transactions for 05/07/20. Total proceeds and cost reported to the IRS.							
	0.217	6.60	04/09/20	7.13	...	-0.53	1 of 3 - Sale ²⁵
	0.076	2.31	04/09/20	2.48	...	-0.17	2 of 3 - Sale ²⁵
	1.592	48.30	04/09/20	43.22	...	5.08	3 of 3 - Sale ²⁵
05/07/20	1.886	57.21	Various	52.83	...	4.38	Total of 3 transactions
3 transactions for 05/07/20. Total proceeds and cost reported to the IRS.							
	0.020	0.60	04/09/20	0.65	0.05 W	0.00	1 of 3 - Sale ²⁵
	0.039	1.19	04/09/20	1.28	0.09 W	0.00	2 of 3 - Sale ²⁵
	0.055	1.68	04/09/20	1.82	0.14 W	0.00	3 of 3 - Sale ²⁵
05/07/20	0.114	3.47	Various	3.75	0.28 W	0.00	Total of 3 transactions
5 transactions for 05/22/20. Total proceeds and cost reported to the IRS.							
	0.020	0.69	04/09/20	0.59	...	0.10	1 of 5 - Sale ²⁵
	0.039	1.36	04/09/20	1.15	...	0.21	2 of 5 - Sale ²⁵
	0.055	1.92	04/09/20	1.64	...	0.28	3 of 5 - Sale ²⁵
	0.836	28.99	04/09/20	22.68	...	6.31	4 of 5 - Sale ²⁵
	21.000	728.52	04/09/20	569.94	...	158.58	5 of 5 - Sale ²⁵
05/22/20	21.950	761.48	Various	596.00	...	165.48	Total of 5 transactions
	Security total:	2,560.27		2,464.12	98.13 W	194.28	
VROOM, INC. COMMON STOCK / CUSIP: 92918V109 / Symbol:							
07/09/20	0.422	21.08	06/26/20	22.93	1.62 W	-0.23	Sale ²⁵
08/03/20	0.501	30.00	06/26/20	27.25	...	2.75	Sale ²⁵
3 transactions for 08/05/20. Total proceeds and cost reported to the IRS.							
	0.398	24.95	06/26/20	21.64	...	3.31	1 of 3 - Sale ²⁵
	2.632	165.10	06/26/20	143.18	...	21.92	2 of 3 - Sale ²⁵
	0.368	23.09	07/13/20	19.62	...	3.47	3 of 3 - Sale ²⁵
08/05/20	3.398	213.14	Various	184.44	...	28.70	Total of 3 transactions

* 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 160869475

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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

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

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

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	7- Loss not allowed (X) also not reported (Z)	Gain or loss(-) & Additional information
VROOM, INC. COMMON STOCK / CUSIP: 92918V109 / Symbol: (cont'd)							
Security total:		264.22		234.62		1.62 W	31.22
WALMART INC. / CUSIP: 931142103 / Symbol:							
01/09/20	15.000	1,746.59	12/20/19	1,851.45	...	-104.86	Sale ²⁵
XPRESSPA GROUP, INC. COMMON STOCK / CUSIP: 98420U604 / Symbol:							
05/22/20	1,000.000	936.75	05/22/20	887.90	...	48.85	Sale ²⁵
NORWEGIAN CRUISE LINE HOLDINGS LTD. ORDINARY SHARES / CUSIP: G66721104 / Symbol:							
9 transactions for 04/02/20. Total proceeds and cost reported to the IRS.							
	14.378	135.32	03/26/20	280.81	...	-145.49	1 of 9 - Sale ²⁵
	0.201	1.89	03/26/20	5.95	...	-4.06	2 of 9 - Sale ²⁵
	0.109	1.03	03/26/20	3.23	...	-2.20	3 of 9 - Sale ²⁵
	26.000	244.68	03/30/20	293.02	...	-48.34	4 of 9 - Sale ²⁵
	7.645	71.94	03/30/20	86.46	...	-14.52	5 of 9 - Sale ²⁵
	0.312	2.94	03/30/20	6.67	...	-3.73	6 of 9 - Sale ²⁵
	0.190	1.79	03/30/20	2.14	...	-0.35	7 of 9 - Sale ²⁵
	0.118	1.11	03/30/20	1.33	...	-0.22	8 of 9 - Sale ²⁵
	0.047	0.45	03/30/20	0.54	...	-0.09	9 of 9 - Sale ²⁵
04/02/20	49.000	461.15	Various	680.15	...	-219.00	Total of 9 transactions
3 transactions for 04/02/20. Total proceeds and cost reported to the IRS.							
	0.201	1.89	03/26/20	3.92	2.03 W	0.00	1 of 3 - Sale ²⁵
	0.109	1.03	03/26/20	2.13	1.10 W	0.00	2 of 3 - Sale ²⁵
	0.312	2.93	03/26/20	6.09	3.16 W	0.00	3 of 3 - Sale ²⁵
04/02/20	0.622	5.85	Various	12.14	6.29 W	0.00	Total of 3 transactions
Security total:		467.00		692.29	6.29 W	-219.00	
Totals :		145,922.81		166,052.10	5,227.79 W	-14,901.50	

* 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 160869475

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
APPLE INC. COMMON STOCK	037833100		08/13/20	0.57	Qualified dividend	
			11/12/20	1.28	Qualified dividend	
				1.85	Total Dividends & distributions	
GENERAL ELECTRIC COMPANY	369604103		01/27/20	1.80	Qualified dividend	
MICROSOFT CORPORATION COMMON S TOCK	594918104		03/12/20	14.28	Qualified dividend	
STARBUCKS CORPORATION COMMON S TOCK	855244109		05/22/20	14.06	Qualified dividend	
				31.99	Total Dividends & distributions	

Robinhood Securities LLC

Account 160869475

Detail for Interest Income

2020

02/14/2021

This section of your tax information statement contains the payment level detail of taxable interest and associated bond premium. Market discount will be shown here only if you have elected to recognize it currently rather than at the time of sale or maturity. Bond premium and market discount for covered tax lots are totaled on Form 1099-INT and reported to the IRS. For noncovered tax lots, they are totaled and presented beneath the 1099-INT for informational purposes and are not reported to the IRS.

To provide a complete picture of activity for each investment, we also include here nonreportable transactions such as accrued interest paid on purchases and payment or receipt of nonqualified interest. Other amounts, such as federal, state and foreign tax withheld and investment expenses are shown as negative amounts but do not net against the reportable income totals.

Security description	CUSIP and/or symbol	Date	Amount	Transaction type	Notes
		02/28/20	0.18	Interest	
		03/13/20	0.90	Interest	
		03/31/20	0.31	Interest	
		04/28/20	0.04	Interest	
		04/30/20	0.01	Interest	
		08/31/20	0.04	Interest	
		09/30/20	0.04	Interest	
		10/30/20	0.01	Interest	
		11/30/20	0.01	Interest	
			1.54	Total Interest	
			1.54	Total Interest	

Robinhood Securities LLC

Account 160869475

Fees and Expenses

2020

02/14/2021

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
		02/21/20	-5.00	Margin interest paid	
		06/22/20	-5.00	Margin interest paid	
		07/20/20	-5.00	Margin interest paid	
		08/19/20	-5.00	Margin interest paid	
		09/18/20	-5.00	Margin interest paid	
		10/19/20	-5.00	Margin interest paid	
		11/17/20	-5.00	Margin interest paid	
			-35.00	Total Margin interest paid	
			-35.00	Total Margin interest paid	

Robinhood Securities LLC

Account 160869475

Non-Reportable Actions

2020

02/14/2021

Security Description	CUSIP and/or symbol	Date	Quantity	Amount	Transaction type	Notes
AAPL 12/18/2020 CALL \$540.00	AAPL 12/18/20 C 540.000	08/31/20	-1.00	0.00	Merger	
AAPL 12/18/2020 CALL \$135.00	AAPL 12/18/20 C 135.000	08/31/20	4.00	0.00	Merger	
OXY 09/18/2020 CALL \$25.00	OXY 09/18/20 C 25.000	07/02/20	-1.00	0.00	Merger	
OXY2 09/18/2020 CALL \$25.00	OXY2 09/18/20 C 25.000	07/02/20	1.00	0.00	Merger	

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-INT Instructions for Recipient

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 generally must 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 (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 line 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 1. Shows taxable interest paid to you during the calendar year by the payer. This does not include interest shown in line 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 2020 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.

Line 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 Forms 1040 and 1040-SR to see where to take the deduction.

Line 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 line 1. See the instructions above for a taxable covered security acquired at a premium.

Line 4. Shows backup withholding. Generally, a payer must backup withhold if you did not furnish your 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.

Line 5. Any amount shown is your share of investment expenses of a singleclass REMIC. This amount is included in line 1. Note: This amount is not deductible.

Line 6. Shows foreign tax paid. You may be able to claim this tax as a deduction or a credit on your Form 1040 or 1040-SR. See your tax return instructions.

Line 7. Shows the country or U.S. possession to which the foreign tax was paid.

Line 8. Shows tax-exempt interest paid to you during the calendar year by the payer. See how to report this amount in the Instructions for Forms 1040 and 1040-SR. This

amount may be subject to backup withholding. See Line 4 above. See the instructions above for a tax-exempt covered security acquired at a premium.

Line 9. Shows tax-exempt interest subject to the alternative minimum tax. This amount is included in line 8. See the Instructions for Form 6251. See the instructions above for a tax-exempt covered security acquired at a premium.

Line 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 Forms 1040 and 1040-SR. Market discount on a tax-exempt security is includable in taxable income as interest income.

Line 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 line, see the Instructions for Schedule B (Form 1040 or 1040-SR) to determine the net amount of interest includable in income on Form 1040 or 1040-SR with respect to the security. If an amount is not reported in this line 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 line 1. If the amount in line 11 is greater than the amount of interest paid on the covered security, see Regulations section 1.171-2(a)(4).

Line 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 line, see the Instructions for Schedule B (Form 1040 or 1040-SR) to determine the net amount of interest includable in income on Form 1040 or 1040-SR with respect to the U.S. Treasury obligation. If an amount is not reported in this line 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 line 3. If the amount in line 12 is greater than the amount of interest paid on the U.S. Treasury obligation, see Regulations section 1.171-2(a)(4).

Line 13. For a tax-exempt covered security, shows the amount of premium amortization allocable to the interest payment(s). If an amount is reported in this line, see Pub. 550 to determine the net amount of tax-exempt interest reportable on Form 1040 or 1040-SR. If an amount is not reported in this line for a tax-exempt covered security acquired at a premium, the payer has reported a net amount of interest in line 8 or 9, whichever is applicable. If the amount in line 13 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).

Line 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). **Lines 15-17.** State tax withheld reporting lines. 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. Future developments. For the latest information about developments related to Form 1099-INT and its instructions, such as legislation enacted after they were published, go to www.irs.gov/Form1099INT.

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.

Instructions for Recipient

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

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

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

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

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

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

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

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