

<b>Robinhood Securities LLC</b> 500 Colonial Center Parkway Suite 100 Lake Mary, FL 32746 Customer Service: 650-940-2700  PAYER'S TIN: 38-4019216	<b>Tax Information</b> <b>Account 130620529</b>	Statement Date: 02/14/2021 Document ID: 8H86 F1A 46A8	2020
	Ashok Yendluri 1715 Somerset Pl Apt 9 Louisville, KY 40220  RECIPIENT'S TIN: XXX-XX-0443		

**Summary Information**

<p><b>DIVIDENDS AND DISTRIBUTIONS</b>      <b>2020 1099-DIV*</b>      OMB No. 1545-0110</p> <p>1a- Total ordinary dividends (includes lines 1b, 5)      14.04</p> <p>1b- Qualified dividends      2.98</p> <p>2a- Total capital gain distributions (includes lines 2b, 2c, 2d)      2.32</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      70.68</p> <p><b>4- Federal income tax withheld</b>      <b>0.00</b></p> <p>5- Section 199A dividends      11.06</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      111.83</p> <p>10- Noncash liquidation distributions      0.00</p> <p>11- Exempt-interest dividends (includes line 12)      0.00</p> <p>12- Specified private activity bond interest dividends (AMT)      0.00</p>	<p><b>MISCELLANEOUS INCOME</b>      <b>2020 1099-MISC*</b>      OMB No. 1545-0115</p> <p>2- Royalties      0.00</p> <p>3- Other income      0.00</p> <p><b>4- Federal income tax withheld</b>      <b>0.00</b></p> <p>8- Substitute payments in lieu of dividends or interest      0.00</p> <p><b>SECTION 1256 CONTRACTS</b>      <b>2020 1099-B*</b>      OMB No. 1545-0715</p> <p>8- Profit or (loss) realized in 2020 on closed contracts      0.00</p> <p>9- Unrealized profit or (loss) on open contracts-12/31/2019      0.00</p> <p>10- Unrealized profit or (loss) on open contracts-12/31/2020      0.00</p> <p>11- Aggregate profit or (loss) on contracts      0.00</p> <p style="text-align: center;"><i>If applicable, proceeds from sale transactions appear summarized below and are detailed in subsequent sections of this document.</i></p>
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**SUMMARY OF PROCEEDS, GAINS & LOSSES, ADJUSTMENTS AND WITHHOLDING**

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

Term	Form 8949 type	Proceeds	Cost basis	Market discount	Wash sale loss disallowed	Net gain or loss(-)
Short	A (basis reported to the IRS)	47,435.95	65,184.28	0.00	14,732.25	-3,016.08
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)	24.78	27.23	0.00	0.00	-2.45
	<b>Total Short-term</b>	<b>47,460.73</b>	<b>65,211.51</b>	<b>0.00</b>	<b>14,732.25</b>	<b>-3,018.53</b>
Long	D (basis reported to the IRS)	8.55	4.08	0.00	0.00	4.47
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)	10.06	14.87	0.00	0.00	-4.81
	<b>Total Long-term</b>	<b>18.61</b>	<b>18.95</b>	<b>0.00</b>	<b>0.00</b>	<b>-0.34</b>
Undetermined	B or E (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Undetermined	C or F (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
	<b>Total Undetermined-term</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
	<b>Grand total</b>	<b>47,479.34</b>	<b>65,230.46</b>	<b>0.00</b>	<b>14,732.25</b>	<b>-3,018.87</b>
<b>Withholding</b>		<b>Amount</b>				
	Federal income tax withheld	0.00				

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

Robinhood Securities LLC

Account 130620529

**Summary Information**

2020

(continued)

02/14/2021

**INTEREST INCOME**

**2020 1099-INT**

OMB No. 1545-0112

**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.**

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

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

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

**STATE TAX WITHHELD**

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

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

**ORIGINAL ISSUE DISCOUNT AND ADJUSTMENTS**

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

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

**RECONCILIATIONS, FEES, EXPENSES AND EXPENDITURES**

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

Other Receipts & Reconciliations- Partnership distributions	1.03
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	15.00
Fees & Expenses- Dividends paid on short position	0.00
Fees & Expenses- Interest paid on short position	0.00
Fees & Expenses- Non reportable distribution expense	0.00
Fees & Expenses- Other expenses	0.00
Fees & Expenses- Severance tax	0.00
Fees & Expenses- Organizational expense	0.00
Fees & Expenses- Miscellaneous fees	0.00
Fees & Expenses- Tax-exempt investment expense	0.00
Foreign Exchange Gains & Losses- Foreign currency gain/loss	0.00

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**Proceeds from Broker and Barter Exchange Transactions**

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

02/14/2021

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

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

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

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

FATCA filing requirement [ ]

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

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

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
AAPL 09/18/2020 CALL \$140.00 / CUSIP: / Symbol:							
4 transactions for 09/18/20. Total proceeds and cost reported to the IRS.							
	24.000	0.00	09/15/20	96.00	...	-96.00	1 of 4 - Option expiration- long call
	5.000	0.00	09/15/20	15.00	...	-15.00	2 of 4 - Option expiration- long call
	2.000	0.00	09/15/20	8.00	...	-8.00	3 of 4 - Option expiration- long call
	1.000	0.00	09/15/20	6.02	...	-6.02	4 of 4 - Option expiration- long call
09/18/20	32.000	0.00	Various	125.02	...	-125.02	Total of 4 transactions
09/18/20	1.000	0.98	09/15/20	3.00	2.02 W	0.00	Option sale to close-call <sup>25</sup>
	<b>Security total:</b>	<b>0.98</b>		<b>128.02</b>	<b>2.02 W</b>	<b>-125.02</b>	

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## Proceeds from Broker and Barter Exchange Transactions

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

(continued)

02/14/2021

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

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

"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
AAPL 10/16/2020 CALL \$150.00 / CUSIP: / Symbol:							
11 transactions for 10/16/20. Total proceeds and cost reported to the IRS.							
	9.000	0.00	09/10/20	765.00	...	-765.00	1 of 11 - Option expiration- long call
	2.000	0.00	09/10/20	170.00	...	-170.00	2 of 11 - Option expiration- long call
	1.000	0.00	09/10/20	85.00	...	-85.00	3 of 11 - Option expiration- long call
	5.000	0.00	09/15/20	180.00	...	-180.00	4 of 11 - Option expiration- long call
	1.000	0.00	09/15/20	36.00	...	-36.00	5 of 11 - Option expiration- long call
	1.000	0.00	09/15/20	36.00	...	-36.00	6 of 11 - Option expiration- long call
	1.000	0.00	09/15/20	36.00	...	-36.00	7 of 11 - Option expiration- long call
	1.000	0.00	09/15/20	36.00	...	-36.00	8 of 11 - Option expiration- long call
	1.000	0.00	09/15/20	35.00	...	-35.00	9 of 11 - Option expiration- long call
	10.000	0.00	09/22/20	180.00	...	-180.00	10 of 11 - Option expiration- long call
	1.000	0.00	09/22/20	18.00	...	-18.00	11 of 11 - Option expiration- long call
10/16/20	33.000	0.00	Various	1,577.00	...	-1,577.00	Total of 11 transactions
AAPL 10/30/2020 CALL \$120.00 / CUSIP: / Symbol:							
9 transactions for 10/26/20. Total proceeds and cost reported to the IRS.							
	1.000	189.99	10/23/20	364.01	...	-174.02	1 of 9 - Option sale to close-call <sup>25</sup>
	1.000	190.00	10/23/20	217.00	...	-27.00	2 of 9 - Option sale to close-call <sup>25</sup>
	1.000	189.99	10/23/20	216.01	...	-26.02	3 of 9 - Option sale to close-call <sup>25</sup>
	1.000	189.99	10/23/20	213.01	...	-23.02	4 of 9 - Option sale to close-call <sup>25</sup>
	2.000	305.99	10/23/20	312.00	...	-6.01	5 of 9 - Option sale to close-call <sup>25</sup>
	1.000	153.00	10/23/20	153.00	...	0.00	6 of 9 - Option sale to close-call <sup>25</sup>
	1.000	152.99	10/23/20	149.00	...	3.99	7 of 9 - Option sale to close-call <sup>25</sup>
	1.000	190.00	10/23/20	162.00	...	28.00	8 of 9 - Option sale to close-call <sup>25</sup>

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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
AAPL 10/30/2020 CALL \$120.00 / CUSIP: / Symbol: (cont'd)							
10/26/20	1.000	189.99	10/23/20	159.01	...	30.98	9 of 9 - Option sale to close-call <sup>25</sup>
	10.000	1,751.94	Various	1,945.04	...	-193.10	Total of 9 transactions
	6 transactions for 10/26/20. Total proceeds and cost reported to the IRS.						
	1.000	152.99	10/19/20	359.00	206.01 W	0.00	1 of 6 - Option sale to close-call <sup>25</sup>
	1.000	152.99	10/22/20	209.00	56.01 W	0.00	2 of 6 - Option sale to close-call <sup>25</sup>
	1.000	153.00	10/22/20	210.00	57.00 W	0.00	3 of 6 - Option sale to close-call <sup>25</sup>
	1.000	152.99	10/22/20	206.00	53.01 W	0.00	4 of 6 - Option sale to close-call <sup>25</sup>
	1.000	153.00	10/23/20	155.00	2.00 W	0.00	5 of 6 - Option sale to close-call <sup>25</sup>
	1.000	152.99	10/23/20	155.00	2.01 W	0.00	6 of 6 - Option sale to close-call <sup>25</sup>
10/26/20	6.000	917.96	Various	1,294.00	376.04 W	0.00	Total of 6 transactions
	<b>Security total:</b>	<b>2,669.90</b>		<b>3,239.04</b>	<b>376.04 W</b>	<b>-193.10</b>	
AAPL 11/20/2020 CALL \$140.00 / CUSIP: / Symbol:							
	9 transactions for 10/27/20. Total proceeds and cost reported to the IRS.						
	1.000	48.00	10/26/20	46.00	...	2.00	1 of 9 - Option sale to close-call <sup>25</sup>
	1.000	48.00	10/26/20	46.00	...	2.00	2 of 9 - Option sale to close-call <sup>25</sup>
	1.000	48.00	10/26/20	46.00	...	2.00	3 of 9 - Option sale to close-call <sup>25</sup>
	1.000	48.00	10/26/20	46.00	...	2.00	4 of 9 - Option sale to close-call <sup>25</sup>
	1.000	48.00	10/26/20	46.00	...	2.00	5 of 9 - Option sale to close-call <sup>25</sup>
	5.000	239.98	10/26/20	230.00	...	9.98	6 of 9 - Option sale to close-call <sup>25</sup>
	3.000	143.99	10/26/20	132.00	...	11.99	7 of 9 - Option sale to close-call <sup>25</sup>
	10.000	479.97	10/26/20	460.00	...	19.97	8 of 9 - Option sale to close-call <sup>25</sup>
	10.000	479.95	10/26/20	440.00	...	39.95	9 of 9 - Option sale to close-call <sup>25</sup>
10/27/20	33.000	1,583.89	Various	1,492.00	...	91.89	Total of 9 transactions
	8 transactions for 10/27/20. Total proceeds and cost reported to the IRS.						
	2.000	95.99	09/15/20	510.00	414.01 W	0.00	1 of 8 - Option sale to close-call <sup>25</sup>
	2.000	95.99	09/15/20	510.00	414.01 W	0.00	2 of 8 - Option sale to close-call <sup>25</sup>
	1.000	48.00	10/22/20	53.00	5.00 W	0.00	3 of 8 - Option sale to close-call <sup>25</sup>
	3.000	143.99	10/22/20	165.00	21.01 W	0.00	4 of 8 - Option sale to close-call <sup>25</sup>
	1.000	48.00	10/22/20	54.00	6.00 W	0.00	5 of 8 - Option sale to close-call <sup>25</sup>
	4.000	191.99	10/22/20	220.00	28.01 W	0.00	6 of 8 - Option sale to close-call <sup>25</sup>
	3.000	143.99	10/22/20	165.00	21.01 W	0.00	7 of 8 - Option sale to close-call <sup>25</sup>
	1.000	48.00	10/22/20	54.00	6.00 W	0.00	8 of 8 - Option sale to close-call <sup>25</sup>
10/27/20	17.000	815.95	Various	1,731.00	915.05 W	0.00	Total of 8 transactions

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Account 130620529

**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 11/20/2020 CALL \$140.00 / CUSIP: / Symbol: (cont'd)							
7 transactions for 10/29/20. Total proceeds and cost reported to the IRS.							
	2.000	85.99	10/26/20	502.01	416.02 W	0.00	1 of 7 - Option sale to close-call <sup>25</sup>
	2.000	85.99	10/26/20	502.01	416.02 W	0.00	2 of 7 - Option sale to close-call <sup>25</sup>
	1.000	43.00	10/26/20	49.00	6.00 W	0.00	3 of 7 - Option sale to close-call <sup>25</sup>
	2.000	85.99	10/26/20	102.01	16.02 W	0.00	4 of 7 - Option sale to close-call <sup>25</sup>
	1.000	43.00	10/26/20	52.00	9.00 W	0.00	5 of 7 - Option sale to close-call <sup>25</sup>
	1.000	43.00	10/26/20	51.00	8.00 W	0.00	6 of 7 - Option sale to close-call <sup>25</sup>
	1.000	42.99	10/26/20	52.01	9.02 W	0.00	7 of 7 - Option sale to close-call <sup>25</sup>
10/29/20	10.000	429.96	Various	1,310.04	880.08 W	0.00	Total of 7 transactions
11/05/20	3.000	32.99	10/30/20	30.00	...	2.99	Option sale to close-call <sup>25</sup>
17 transactions for 11/05/20. Total proceeds and cost reported to the IRS.							
	2.000	22.00	10/26/20	506.02	484.02 W	0.00	1 of 17 - Option sale to close-call <sup>25</sup>
	2.000	21.99	10/26/20	506.02	484.03 W	0.00	2 of 17 - Option sale to close-call <sup>25</sup>
	1.000	11.00	10/26/20	51.00	40.00 W	0.00	3 of 17 - Option sale to close-call <sup>25</sup>
	1.000	11.00	10/26/20	54.00	43.00 W	0.00	4 of 17 - Option sale to close-call <sup>25</sup>
	1.000	11.00	10/26/20	53.00	42.00 W	0.00	5 of 17 - Option sale to close-call <sup>25</sup>
	1.000	11.00	10/26/20	54.02	43.02 W	0.00	6 of 17 - Option sale to close-call <sup>25</sup>
	2.000	21.99	10/26/20	106.02	84.03 W	0.00	7 of 17 - Option sale to close-call <sup>25</sup>
	1.000	11.00	10/26/20	52.00	41.00 W	0.00	8 of 17 - Option sale to close-call <sup>25</sup>
	1.000	11.00	10/26/20	52.00	41.00 W	0.00	9 of 17 - Option sale to close-call <sup>25</sup>
	2.000	21.99	10/26/20	104.00	82.01 W	0.00	10 of 17 - Option sale to close-call <sup>25</sup>
	2.000	21.99	10/26/20	104.01	82.02 W	0.00	11 of 17 - Option sale to close-call <sup>25</sup>

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Robinhood Securities LLC

Account 130620529

**Proceeds from Broker and Barter Exchange Transactions**

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

(continued)

02/14/2021

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
AAPL 11/20/2020 CALL \$140.00 / CUSIP: / Symbol: (cont'd)							
	1.000	11.00	10/26/20	51.00	40.00 W	0.00	12 of 17 - Option sale to close-call <sub>25</sub>
	1.000	12.00	10/30/20	51.00	39.00 W	0.00	13 of 17 - Option sale to close-call <sub>25</sub>
	1.000	12.00	10/30/20	51.00	39.00 W	0.00	14 of 17 - Option sale to close-call <sub>25</sub>
	1.000	12.00	10/30/20	50.00	38.00 W	0.00	15 of 17 - Option sale to close-call <sub>25</sub>
	2.000	23.99	10/30/20	102.01	78.02 W	0.00	16 of 17 - Option sale to close-call <sub>25</sub>
	2.000	23.99	10/30/20	102.02	78.03 W	0.00	17 of 17 - Option sale to close-call <sub>25</sub>
11/05/20	24.000	270.94	Various	2,049.12	1,778.18 W	0.00	Total of 17 transactions
	23 transactions for 11/09/20. Total proceeds and cost reported to the IRS.						
	2.000	23.99	10/30/20	504.02	480.03 W	0.00	1 of 23 - Option sale to close-call <sub>25</sub>
	2.000	24.00	10/30/20	504.03	480.03 W	0.00	2 of 23 - Option sale to close-call <sub>25</sub>
	1.000	12.00	10/30/20	49.00	37.00 W	0.00	3 of 23 - Option sale to close-call <sub>25</sub>
	1.000	12.00	10/30/20	49.01	37.01 W	0.00	4 of 23 - Option sale to close-call <sub>25</sub>
	1.000	12.00	10/30/20	50.00	38.00 W	0.00	5 of 23 - Option sale to close-call <sub>25</sub>
	1.000	11.99	10/30/20	53.00	41.01 W	0.00	6 of 23 - Option sale to close-call <sub>25</sub>
	2.000	23.99	10/30/20	104.03	80.04 W	0.00	7 of 23 - Option sale to close-call <sub>25</sub>
	1.000	12.00	10/30/20	52.00	40.00 W	0.00	8 of 23 - Option sale to close-call <sub>25</sub>
	1.000	12.00	10/30/20	53.02	41.02 W	0.00	9 of 23 - Option sale to close-call <sub>25</sub>
	1.000	12.00	10/30/20	49.01	37.01 W	0.00	10 of 23 - Option sale to close-call <sub>25</sub>

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Robinhood Securities LLC

Account 130620529

**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)	7- Loss not allowed (X) also not reported (Z)	Gain or loss(-) & Additional information
AAPL 11/20/2020 CALL \$140.00 / CUSIP: / Symbol: (cont'd)							
	1.000	12.00	11/03/20	48.00	36.00 W	0.00	11 of 23 - Option sale to close-call <sup>25</sup>
	2.000	23.99	11/03/20	498.03	474.04 W	0.00	12 of 23 - Option sale to close-call <sup>25</sup>
	2.000	23.99	11/03/20	498.03	474.04 W	0.00	13 of 23 - Option sale to close-call <sup>25</sup>
	1.000	12.00	11/03/20	46.00	34.00 W	0.00	14 of 23 - Option sale to close-call <sup>25</sup>
	1.000	12.00	11/03/20	46.01	34.01 W	0.00	15 of 23 - Option sale to close-call <sup>25</sup>
	1.000	12.00	11/03/20	47.00	35.00 W	0.00	16 of 23 - Option sale to close-call <sup>25</sup>
	2.000	23.99	11/03/20	98.04	74.05 W	0.00	17 of 23 - Option sale to close-call <sup>25</sup>
	1.000	11.99	11/03/20	48.02	36.03 W	0.00	18 of 23 - Option sale to close-call <sup>25</sup>
	1.000	12.00	11/03/20	47.00	35.00 W	0.00	19 of 23 - Option sale to close-call <sup>25</sup>
	1.000	12.00	11/03/20	48.01	36.01 W	0.00	20 of 23 - Option sale to close-call <sup>25</sup>
	2.000	23.99	11/03/20	492.04	468.05 W	0.00	21 of 23 - Option sale to close-call <sup>25</sup>
	1.000	12.00	11/03/20	46.01	34.01 W	0.00	22 of 23 - Option sale to close-call <sup>25</sup>
	1.000	11.99	11/03/20	50.01	38.02 W	0.00	23 of 23 - Option sale to close-call <sup>25</sup>
11/09/20	30.000	359.91	Various	3,479.32	3,119.41 W	0.00	Total of 23 transactions
5 transactions for 11/16/20. Total proceeds and cost reported to the IRS.							
	1.000	1.00	11/03/20	49.00	48.00 W	0.00	1 of 5 - Option sale to close-call <sup>25</sup>
	1.000	0.99	11/03/20	50.02	49.03 W	0.00	2 of 5 - Option sale to close-call <sup>25</sup>
	1.000	1.00	11/03/20	45.00	44.00 W	0.00	3 of 5 - Option sale to close-call <sup>25</sup>
	1.000	0.99	11/03/20	246.02	245.03 W	0.00	4 of 5 - Option sale to close-call <sup>25</sup>
	1.000	0.98	11/03/20	246.02	245.04 W	0.00	5 of 5 - Option sale to close-call <sup>25</sup>
11/16/20	5.000	4.96	Various	636.06	631.10 W	0.00	Total of 5 transactions

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Robinhood Securities LLC

Account 130620529

## 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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AAPL 11/20/2020 CALL \$140.00 / CUSIP: / Symbol: (cont'd)							
22 transactions for 11/20/20. Total proceeds and cost reported to the IRS.							
	2.000	0.00	11/03/20	486.05	...	-486.05	1 of 22 - Option expiration- long call
	1.000	0.00	11/03/20	254.04	...	-254.04	2 of 22 - Option expiration- long call
	1.000	0.00	11/03/20	254.03	...	-254.03	3 of 22 - Option expiration- long call
	13.000	0.00	11/03/20	117.00	...	-117.00	4 of 22 - Option expiration- long call
	2.000	0.00	11/03/20	92.05	...	-92.05	5 of 22 - Option expiration- long call
	10.000	0.00	11/03/20	90.00	...	-90.00	6 of 22 - Option expiration- long call
	1.000	0.00	11/03/20	58.03	...	-58.03	7 of 22 - Option expiration- long call
	1.000	0.00	11/03/20	57.00	...	-57.00	8 of 22 - Option expiration- long call
	1.000	0.00	11/03/20	53.00	...	-53.00	9 of 22 - Option expiration- long call
	1.000	0.00	11/03/20	47.02	...	-47.02	10 of 22 - Option expiration- long call
	1.000	0.00	11/03/20	45.03	...	-45.03	11 of 22 - Option expiration- long call
	1.000	0.00	11/03/20	45.01	...	-45.01	12 of 22 - Option expiration- long call
	1.000	0.00	11/03/20	44.00	...	-44.00	13 of 22 - Option expiration- long call
	1.000	0.00	11/03/20	44.00	...	-44.00	14 of 22 - Option expiration- long call
	1.000	0.00	11/03/20	43.01	...	-43.01	15 of 22 - Option expiration- long call
	1.000	0.00	11/03/20	43.01	...	-43.01	16 of 22 - Option expiration- long call
	1.000	0.00	11/03/20	43.00	...	-43.00	17 of 22 - Option expiration- long call

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Robinhood Securities LLC

Account 130620529

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
AAPL 11/20/2020 CALL \$140.00 / CUSIP: / Symbol: (cont'd)							
	3.000	0.00	11/03/20	27.00	...	-27.00	18 of 22 - Option expiration- long call
	3.000	0.00	11/03/20	27.00	...	-27.00	19 of 22 - Option expiration- long call
	1.000	0.00	11/03/20	9.00	...	-9.00	20 of 22 - Option expiration- long call
	1.000	0.00	11/03/20	9.00	...	-9.00	21 of 22 - Option expiration- long call
	1.000	0.00	11/03/20	8.00	...	-8.00	22 of 22 - Option expiration- long call
11/20/20	49.000	0.00	Various	1,895.28	...	-1,895.28	Total of 22 transactions
	<b>Security total:</b>	<b>3,498.60</b>		<b>12,622.82</b>	<b>7,323.82 W</b>	<b>-1,800.40</b>	
AAPL 12/04/2020 CALL \$118.00 / CUSIP: / Symbol:							
2 transactions for 11/27/20. Total proceeds and cost reported to the IRS.							
	1.000	143.98	11/24/20	93.00	...	50.98	1 of 2 - Option sale to close-call <sup>25</sup>
	1.000	143.98	11/24/20	93.00	...	50.98	2 of 2 - Option sale to close-call <sup>25</sup>
11/27/20	2.000	287.96	Various	186.00	...	101.96	Total of 2 transactions
AAPL 12/11/2020 CALL \$122.00 / CUSIP: / Symbol:							
12/01/20	2.000	619.97	11/27/20	184.00	...	435.97	Option sale to close-call <sup>25</sup>
12/02/20	2.000	491.97	11/27/20	184.00	...	307.97	Option sale to close-call <sup>25</sup>
	<b>Security total:</b>	<b>1,111.94</b>		<b>368.00</b>	<b>...</b>	<b>743.94</b>	
AAPL 12/24/2020 CALL \$128.00 / CUSIP: / Symbol:							
12/15/20	2.000	421.98	12/02/20	348.00	...	73.98	Option sale to close-call <sup>25</sup>
AAPL 12/31/2020 CALL \$128.00 / CUSIP: / Symbol:							
2 transactions for 12/22/20. Total proceeds and cost reported to the IRS.							
	1.000	609.97	12/21/20	242.00	...	367.97	1 of 2 - Option sale to close-call <sup>25</sup>
	2.000	859.97	12/21/20	484.00	...	375.97	2 of 2 - Option sale to close-call <sup>25</sup>
12/22/20	3.000	1,469.94	Various	726.00	...	743.94	Total of 2 transactions
AAPL 12/31/2020 CALL \$129.00 / CUSIP: / Symbol:							
12/22/20	1.000	654.97	12/15/20	294.00	...	360.97	Option sale to close-call <sup>25</sup>

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Account 130620529

## Proceeds from Broker and Barter Exchange Transactions

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

(continued)

02/14/2021

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AAPL 12/31/2020 CALL \$134.00 / CUSIP: / Symbol:							
2 transactions for 12/24/20. Total proceeds and cost reported to the IRS.							
	1.000	164.99	12/22/20	293.00	128.01 W	0.00	1 of 2 - Option sale to close-call <sup>25</sup>
	1.000	164.99	12/22/20	293.00	128.01 W	0.00	2 of 2 - Option sale to close-call <sup>25</sup>
12/24/20	2.000	329.98	Various	586.00	256.02 W	0.00	Total of 2 transactions
2 transactions for 12/28/20. Total proceeds and cost reported to the IRS.							
	1.000	262.98	12/23/20	275.01	...	-12.03	1 of 2 - Option sale to close-call <sup>25</sup>
	1.000	280.98	12/23/20	275.01	...	5.97	2 of 2 - Option sale to close-call <sup>25</sup>
12/28/20	2.000	543.96	Various	550.02	...	-6.06	Total of 2 transactions
	<b>Security total:</b>	<b>873.94</b>		<b>1,136.02</b>	<b>256.02 W</b>	<b>-6.06</b>	
AAPL 12/31/2020 CALL \$135.00 / CUSIP: / Symbol:							
12/22/20	5.000	1,574.95	12/22/20	1,325.00	...	249.95	Option sale to close-call <sup>25</sup>
AMD 12/04/2020 CALL \$88.00 / CUSIP: / Symbol:							
2 transactions for 11/30/20. Total proceeds and cost reported to the IRS.							
	1.000	309.98	11/25/20	155.00	...	154.98	1 of 2 - Option sale to close-call <sup>25</sup>
	1.000	359.98	11/25/20	155.00	...	204.98	2 of 2 - Option sale to close-call <sup>25</sup>
11/30/20	2.000	669.96	Various	310.00	...	359.96	Total of 2 transactions
BNTX 12/18/2020 CALL \$145.00 / CUSIP: / Symbol:							
2 transactions for 12/08/20. Total proceeds and cost reported to the IRS.							
	1.000	509.97	12/01/20	900.00	390.03 W	0.00	1 of 2 - Option sale to close-call <sup>25</sup>
	1.000	509.97	12/01/20	1,080.03	570.06 W	0.00	2 of 2 - Option sale to close-call <sup>25</sup>
12/08/20	2.000	1,019.94	Various	1,980.03	960.09 W	0.00	Total of 2 transactions
12/10/20	1.000	349.98	12/04/20	920.06	570.08 W	0.00	Option sale to close-call <sup>25</sup>
	<b>Security total:</b>	<b>1,369.92</b>		<b>2,900.09</b>	<b>1,530.17 W</b>	<b>0.00</b>	
CCL 04/16/2021 CALL \$37.50 / CUSIP: / Symbol:							
12/03/20	1.000	134.98	12/01/20	86.00	...	48.98	Option sale to close-call <sup>25</sup>
CCL 12/24/2020 CALL \$23.00 / CUSIP: / Symbol:							
12/22/20	1.000	4.98	12/15/20	117.02	...	-112.04	Option sale to close-call <sup>25</sup>
12/22/20	1.000	4.98	12/15/20	61.00	56.02 W	0.00	Option sale to close-call <sup>25</sup>
	<b>Security total:</b>	<b>9.96</b>		<b>178.02</b>	<b>56.02 W</b>	<b>-112.04</b>	

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Account 130620529

**Proceeds from Broker and Barter Exchange Transactions**

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

(continued)

02/14/2021

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CSCO 12/24/2020 CALL \$46.00 / CUSIP: / Symbol:							
12/08/20	3.000	68.98	12/04/20	102.00	...	-33.02	Option sale to close-call <sup>25</sup>
DIS 11/20/2020 PUT \$122.00 / CUSIP: / Symbol:							
2 transactions for 11/17/20. Total proceeds and cost reported to the IRS.							
	5.000	4.98	11/12/20	230.00	...	-225.02	1 of 2 - Option sale to close-put <sup>25</sup>
	1.000	1.00	11/13/20	10.00	...	-9.00	2 of 2 - Option sale to close-put <sup>25</sup>
11/17/20	6.000	5.98	Various	240.00	...	-234.02	Total of 2 transactions
FSR 12/18/2020 CALL \$20.00 / CUSIP: / Symbol:							
11/13/20	1.000	234.98	11/09/20	104.00	...	130.98	Option sale to close-call <sup>25</sup>
GILD 01/15/2021 CALL \$70.00 / CUSIP: / Symbol:							
12/18/20	4.000	47.98	11/09/20	132.00	...	-84.02	Option sale to close-call <sup>25</sup>
12/18/20	4.000	47.98	11/09/20	132.00	63.01 W	-21.01	Option sale to close-call <sup>25</sup>
12/28/20	5.000	49.98	11/09/20	165.00	...	-115.02	Option sale to close-call <sup>25</sup>
	<b>Security total:</b>	<b>145.94</b>		<b>429.00</b>	<b>63.01 W</b>	<b>-220.05</b>	
GPRO 10/30/2020 CALL \$8.00 / CUSIP: / Symbol:							
10/15/20	1.000	18.98	10/13/20	16.00	...	2.98	Option sale to close-call <sup>25</sup>
MRNA 12/24/2020 CALL \$190.00 / CUSIP: / Symbol:							
12/03/20	1.000	899.97	11/30/20	800.00	...	99.97	Option sale to close-call <sup>25</sup>
MSFT 11/13/2020 CALL \$225.00 / CUSIP: / Symbol:							
2 transactions for 11/09/20. Total proceeds and cost reported to the IRS.							
	1.000	409.99	11/05/20	280.00	...	129.99	1 of 2 - Option sale to close-call <sup>25</sup>
	2.000	819.97	11/06/20	378.00	...	441.97	2 of 2 - Option sale to close-call <sup>25</sup>
11/09/20	3.000	1,229.96	Various	658.00	...	571.96	Total of 2 transactions
2 transactions for 11/11/20. Total proceeds and cost reported to the IRS.							
	1.000	13.98	11/06/20	193.00	...	-179.02	1 of 2 - Option sale to close-call <sup>25</sup>
	1.000	13.98	11/06/20	193.00	...	-179.02	2 of 2 - Option sale to close-call <sup>25</sup>
11/11/20	2.000	27.96	Various	386.00	...	-358.04	Total of 2 transactions
	<b>Security total:</b>	<b>1,257.92</b>		<b>1,044.00</b>	...	<b>213.92</b>	

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Account 130620529

Proceeds from Broker and Barter Exchange Transactions

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

(continued)

02/14/2021

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

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NIO 11/27/2020 CALL \$45.00 / CUSIP: / Symbol:							
11/13/20	1.000	1,129.96	11/09/20	435.00	...	694.96	Option sale to close-call <sup>25</sup>
NIO 11/27/2020 CALL \$50.00 / CUSIP: / Symbol:							
2 transactions for 11/12/20. Total proceeds and cost reported to the IRS.							
	1.000	399.99	11/09/20	290.00	...	109.99	1 of 2 - Option sale to close-call <sup>25</sup>
	1.000	399.98	11/11/20	199.00	...	200.98	2 of 2 - Option sale to close-call <sup>25</sup>
11/12/20	2.000	799.97	Various	489.00	...	310.97	Total of 2 transactions
11/20/20	2.000	619.97	11/19/20	470.00	...	149.97	Option sale to close-call <sup>25</sup>
	<b>Security total:</b>	<b>1,419.94</b>		<b>959.00</b>	...	<b>460.94</b>	
NIO 11/27/2020 CALL \$70.00 / CUSIP: / Symbol:							
11/20/20	1.000	25.00	11/13/20	702.08	...	-677.08	Option sale to close-call <sup>25</sup>
6 transactions for 11/20/20. Total proceeds and cost reported to the IRS.							
	1.000	24.98	11/13/20	169.00	144.02 W	0.00	1 of 6 - Option sale to close-call <sup>25</sup>
	1.000	24.98	11/13/20	313.02	288.04 W	0.00	2 of 6 - Option sale to close-call <sup>25</sup>
	1.000	24.98	11/13/20	457.04	432.06 W	0.00	3 of 6 - Option sale to close-call <sup>25</sup>
	1.000	24.98	11/13/20	601.06	576.08 W	0.00	4 of 6 - Option sale to close-call <sup>25</sup>
	1.000	24.98	11/13/20	169.00	144.02 W	0.00	5 of 6 - Option sale to close-call <sup>25</sup>
	4.000	99.98	11/13/20	676.00	576.02 W	0.00	6 of 6 - Option sale to close-call <sup>25</sup>
11/20/20	9.000	224.88	Various	2,385.12	2,160.24 W	0.00	Total of 6 transactions
5 transactions for 11/23/20. Total proceeds and cost reported to the IRS.							
	1.000	7.00	11/16/20	238.02	...	-231.02	1 of 5 - Option sale to close-call <sup>25</sup>
	1.000	6.99	11/16/20	238.01	...	-231.02	2 of 5 - Option sale to close-call <sup>25</sup>
	1.000	6.99	11/16/20	237.01	...	-230.02	3 of 5 - Option sale to close-call <sup>25</sup>
	1.000	7.00	11/16/20	234.00	...	-227.00	4 of 5 - Option sale to close-call <sup>25</sup>
	1.000	7.00	11/16/20	233.00	...	-226.00	5 of 5 - Option sale to close-call <sup>25</sup>
11/23/20	5.000	34.98	Various	1,180.04	...	-1,145.06	Total of 5 transactions
	<b>Security total:</b>	<b>284.86</b>		<b>4,267.24</b>	<b>2,160.24 W</b>	<b>-1,822.14</b>	
NIO 12/04/2020 CALL \$60.00 / CUSIP: / Symbol:							
2 transactions for 11/30/20. Total proceeds and cost reported to the IRS.							
	1.000	67.98	11/24/20	256.00	...	-188.02	1 of 2 - Option sale to close-call <sup>25</sup>
	1.000	67.98	11/24/20	256.00	...	-188.02	2 of 2 - Option sale to close-call <sup>25</sup>
11/30/20	2.000	135.96	Various	512.00	...	-376.04	Total of 2 transactions

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Robinhood Securities LLC

Account 130620529

**Proceeds from Broker and Barter Exchange Transactions**

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

(continued)

02/14/2021

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NKLA 09/18/2020 CALL \$41.50 / CUSIP: / Symbol:							
09/18/20	1.000	0.00	09/14/20	90.00	...	-90.00	Option expiration- long call
NKLA 12/18/2020 PUT \$10.00 / CUSIP: / Symbol:							
12/02/20	2.000	49.98	12/01/20	128.00	...	-78.02	Option sale to close-put <sup>25</sup>
NVDA 12/04/2020 CALL \$600.00 / CUSIP: / Symbol:							
3 transactions for 11/30/20. Total proceeds and cost reported to the IRS.							
	5.000	119.99	11/23/20	430.00	...	-310.01	1 of 3 - Option sale to close-call <sup>25</sup>
	1.000	23.99	11/24/20	49.00	...	-25.01	2 of 3 - Option sale to close-call <sup>25</sup>
	1.000	24.00	11/24/20	49.00	...	-25.00	3 of 3 - Option sale to close-call <sup>25</sup>
11/30/20	7.000	167.98	Various	528.00	...	-360.02	Total of 3 transactions
NVDA 12/04/2020 CALL \$620.00 / CUSIP: / Symbol:							
3 transactions for 11/27/20. Total proceeds and cost reported to the IRS.							
	1.000	15.98	11/23/20	43.00	...	-27.02	1 of 3 - Option sale to close-call <sup>25</sup>
	1.000	15.98	11/23/20	43.00	...	-27.02	2 of 3 - Option sale to close-call <sup>25</sup>
	1.000	15.98	11/23/20	43.00	...	-27.02	3 of 3 - Option sale to close-call <sup>25</sup>
11/27/20	3.000	47.94	Various	129.00	...	-81.06	Total of 3 transactions
PFE 12/24/2020 CALL \$42.50 / CUSIP: / Symbol:							
6 transactions for 12/24/20. Total proceeds and cost reported to the IRS.							
	3.000	0.00	12/08/20	591.00	...	-591.00	1 of 6 - Option expiration- long call
	1.000	0.00	12/08/20	197.00	...	-197.00	2 of 6 - Option expiration- long call
	2.000	0.00	12/14/20	94.00	...	-94.00	3 of 6 - Option expiration- long call
	1.000	0.00	12/14/20	47.00	...	-47.00	4 of 6 - Option expiration- long call
	1.000	0.00	12/14/20	47.00	...	-47.00	5 of 6 - Option expiration- long call
	1.000	0.00	12/14/20	30.00	...	-30.00	6 of 6 - Option expiration- long call
12/24/20	9.000	0.00	Various	1,006.00	...	-1,006.00	Total of 6 transactions
PFE 12/24/2020 CALL \$43.00 / CUSIP: / Symbol:							
12/24/20	1.000	0.00	12/08/20	175.00	...	-175.00	Option expiration- long call
PLTR 01/08/2021 CALL \$28.50 / CUSIP: / Symbol:							
12/28/20	2.000	295.98	12/22/20	416.00	120.02 W	0.00	Option sale to close-call <sup>25</sup>

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Account 130620529

**Proceeds from Broker and Barter Exchange Transactions**

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

(continued)

02/14/2021

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PLTR 12/04/2020 CALL \$20.00 / CUSIP: / Symbol:							
11/24/20	4.000	1,199.96	11/23/20	664.00	...	535.96	Option sale to close-call <sup>25</sup>
PLTR 12/04/2020 CALL \$27.00 / CUSIP: / Symbol:							
2 transactions for 11/25/20. Total proceeds and cost reported to the IRS.							
	1.000	264.98	11/24/20	95.00	...	169.98	1 of 2 - Option sale to close-call <sup>25</sup>
	2.000	529.97	11/24/20	190.00	...	339.97	2 of 2 - Option sale to close-call <sup>25</sup>
11/25/20	3.000	794.95	Various	285.00	...	509.95	Total of 2 transactions
11/27/20	1.000	729.97	11/24/20	95.00	...	634.97	Option sale to close-call <sup>25</sup>
12/01/20	1.000	109.98	11/24/20	95.00	...	14.98	Option sale to close-call <sup>25</sup>
<b>Security total:</b>		<b>1,634.90</b>		<b>475.00</b>	...	<b>1,159.90</b>	
PLTR 12/24/2020 CALL \$29.00 / CUSIP: / Symbol:							
12/08/20	1.000	268.98	12/07/20	207.00	...	61.98	Option sale to close-call <sup>25</sup>
PLTR 12/31/2020 CALL \$30.00 / CUSIP: / Symbol:							
12/21/20	1.000	129.98	12/08/20	270.00	...	-140.02	Option sale to close-call <sup>25</sup>
12/31/20	1.000	0.98	12/08/20	270.00	...	-269.02	Option sale to close-call <sup>25</sup>
<b>Security total:</b>		<b>130.96</b>		<b>540.00</b>	...	<b>-409.04</b>	
PTON 11/13/2020 CALL \$125.00 / CUSIP: / Symbol:							
11/06/20	1.000	914.96	11/05/20	585.00	...	329.96	Option sale to close-call <sup>25</sup>
TSLA 09/25/2020 CALL \$575.00 / CUSIP: / Symbol:							
09/22/20	1.000	167.98	09/18/20	760.00	...	-592.02	Option sale to close-call <sup>25</sup>
TSLA 10/30/2020 CALL \$425.00 / CUSIP: / Symbol:							
2 transactions for 10/26/20. Total proceeds and cost reported to the IRS.							
	1.000	944.96	10/26/20	680.00	...	264.96	1 of 2 - Option sale to close-call <sup>25</sup>
	1.000	944.96	10/26/20	680.00	...	264.96	2 of 2 - Option sale to close-call <sup>25</sup>
10/26/20	2.000	1,889.92	Various	1,360.00	...	529.92	Total of 2 transactions

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Account 130620529

Proceeds from Broker and Barter Exchange Transactions

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

(continued)

02/14/2021

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TSLA 11/06/2020 CALL \$427.50 / CUSIP: / Symbol:							
10/30/20	1.000	257.98	10/27/20	1,680.00	1,422.02 W	0.00	Option sale to close-call <sup>25</sup>
11/03/20	1.000	529.97	10/30/20	1,558.04	...	-1,028.07	Option sale to close-call <sup>25</sup>
11/03/20	1.000	389.98	10/30/20	1,672.02	1,282.04 W	0.00	Option sale to close-call <sup>25</sup>
	<b>Security total:</b>	<b>1,177.93</b>		<b>4,910.06</b>	<b>2,704.06 W</b>	<b>-1,028.07</b>	
UAL 01/15/2021 CALL \$47.00 / CUSIP: / Symbol:							
12/22/20	2.000	325.98	12/21/20	380.00	...	-54.02	Option sale to close-call <sup>25</sup>
WMT 10/16/2020 CALL \$160.00 / CUSIP: / Symbol:							
3 transactions for 10/13/20. Total proceeds and cost reported to the IRS.							
	1.000	1.99	09/23/20	36.02	...	-34.03	1 of 3 - Option sale to close-call <sup>25</sup>
	2.000	3.99	09/23/20	38.00	...	-34.01	2 of 3 - Option sale to close-call <sup>25</sup>
	1.000	1.98	09/23/20	19.00	...	-17.02	3 of 3 - Option sale to close-call <sup>25</sup>
10/13/20	4.000	7.96	Various	93.02	...	-85.06	Total of 3 transactions
10/13/20	1.000	1.98	09/23/20	19.00	17.02 W	0.00	Option sale to close-call <sup>25</sup>
	<b>Security total:</b>	<b>9.94</b>		<b>112.02</b>	<b>17.02 W</b>	<b>-85.06</b>	
WORK 12/18/2020 CALL \$44.00 / CUSIP: / Symbol:							
3 transactions for 12/08/20. Total proceeds and cost reported to the IRS.							
	2.000	79.99	11/25/20	356.00	...	-276.01	1 of 3 - Option sale to close-call <sup>25</sup>
	1.000	40.00	12/02/20	81.00	...	-41.00	2 of 3 - Option sale to close-call <sup>25</sup>
	2.000	79.99	12/03/20	114.00	...	-34.01	3 of 3 - Option sale to close-call <sup>25</sup>
12/08/20	5.000	199.98	Various	551.00	...	-351.02	Total of 3 transactions
XPEV 12/31/2020 CALL \$45.50 / CUSIP: / Symbol:							
12/29/20	2.000	41.98	12/22/20	374.00	...	-332.02	Option sale to close-call <sup>25</sup>
ZM 12/11/2020 CALL \$730.00 / CUSIP: / Symbol:							
2 transactions for 11/27/20. Total proceeds and cost reported to the IRS.							
	1.000	159.98	11/13/20	110.02	...	49.96	1 of 2 - Option sale to close-call <sup>25</sup>
	1.000	159.98	11/13/20	110.02	...	49.96	2 of 2 - Option sale to close-call <sup>25</sup>
11/27/20	2.000	319.96	Various	220.04	...	99.92	Total of 2 transactions
2 transactions for 11/27/20. Total proceeds and cost reported to the IRS.							
	1.000	159.98	11/12/20	190.00	30.02 W	0.00	1 of 2 - Option sale to close-call <sup>25</sup>

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Account 130620529

**Proceeds from Broker and Barter Exchange Transactions**

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

(continued)

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ZM 12/11/2020 CALL \$730.00 / CUSIP: / Symbol: (cont'd)							
	1.000	159.98	11/12/20	190.00	30.02 W	0.00	2 of 2 - Option sale to close-call <sup>25</sup>
11/27/20	2.000	319.96	Various	380.00	60.04 W	0.00	Total of 2 transactions
	<b>Security total:</b>	<b>639.92</b>		<b>600.04</b>	<b>60.04 W</b>	<b>99.92</b>	
AGNC INVESTMENT CORP. COMMON S TOCK / CUSIP: 00123Q104 / Symbol:							
10/22/20	15.000	208.50	09/29/20	208.46	...	0.04	Sale <sup>25</sup>
10/30/20	1.000	13.91	09/29/20	13.90	...	0.01	Sale <sup>25</sup>
	<b>Security total:</b>	<b>222.41</b>		<b>222.36</b>	...	<b>0.05</b>	
AMC ENTERTAINMENT HOLDINGS, IN C. / CUSIP: 00165C104 / Symbol:							
06/05/20	75.000	430.50	05/14/20	343.35	...	87.15	Sale <sup>25</sup>
	2 transactions for 09/15/20. Total proceeds and cost reported to the IRS.						
	1.000	5.61	05/14/20	4.58	...	1.03	1 of 2 - Sale <sup>25</sup>
	1.000	5.62	05/14/20	4.58	...	1.04	2 of 2 - Sale <sup>25</sup>
09/15/20	2.000	11.23	Various	9.16	...	2.07	Total of 2 transactions
	<b>Security total:</b>	<b>441.73</b>		<b>352.51</b>	...	<b>89.22</b>	
AIRBNB, INC. CLASS A COMMON ST OCK / CUSIP: 009066101 / Symbol:							
12/21/20	2.000	328.00	12/10/20	326.76	...	1.24	Sale <sup>25</sup>
BEAM GLOBAL COMMON STOCK / CUSIP: 07373B109 / Symbol:							
12/21/20	1.000	50.04	11/23/20	33.46	...	16.58	Sale <sup>25</sup>
BERKSHIRE HATHAWAY CLASS B / CUSIP: 084670702 / Symbol:							
10/22/20	1.000	210.46	06/11/20	184.85	...	25.61	Sale <sup>25</sup>
BIONTECH SE AMERICAN DEPOSITAR Y SHARE / CUSIP: 09075V102 / Symbol:							
12/04/20	7.000	812.96	12/03/20	820.26	...	-7.30	Sale <sup>25</sup>
12/07/20	2.000	247.72	12/03/20	234.36	...	13.36	Sale <sup>25</sup>
	<b>Security total:</b>	<b>1,060.68</b>		<b>1,054.62</b>	...	<b>6.06</b>	
BOEING COMPANY / CUSIP: 097023105 / Symbol:							
06/04/20	2.000	370.47	05/06/20	246.00	...	124.47	Sale <sup>25</sup>
09/15/20	1.000	164.32	05/06/20	123.00	...	41.32	Sale <sup>25</sup>
	<b>Security total:</b>	<b>534.79</b>		<b>369.00</b>	...	<b>165.79</b>	

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(continued)

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VELOCITYSHARES3X LONG CRUDE OIL ETNS LINKED TO THE S&P GSCI CRUDE OIL INDEX ER / CUSIP: 17325E291 / Symbol:							
6 transactions for 04/03/20. Total proceeds and cost reported to the IRS.							
	124.000	20.42	03/16/20	99.20	...	-78.78	1 of 6 - Final principal payment <sup>25</sup>
	1.000	0.16	03/16/20	0.78	...	-0.62	2 of 6 - Final principal payment <sup>25</sup>
	499.000	82.20	03/27/20	90.12	...	-7.92	3 of 6 - Final principal payment <sup>25</sup>
	53.000	8.73	03/27/20	9.57	...	-0.84	4 of 6 - Final principal payment <sup>25</sup>
	1.000	0.16	03/27/20	0.18	...	-0.02	5 of 6 - Final principal payment <sup>25</sup>
	1.000	0.16	03/27/20	0.18	...	-0.02	6 of 6 - Final principal payment <sup>25</sup>
04/03/20	679.000	111.83	Various	200.03	...	-88.20	Total of 6 transactions
CREDIT SUISSE AG NASSAU BRH OT HER / CUSIP: 22539T183 / Symbol:							
5 transactions for 07/06/20. Total proceeds and cost reported to the IRS.							
	32.000	349.93	05/20/20	541.12	...	-191.19	1 of 5 - Sale <sup>25</sup>
	1.000	10.94	05/20/20	16.92	...	-5.98	2 of 5 - Sale <sup>25</sup>
	50.000	546.76	06/05/20	677.50	...	-130.74	3 of 5 - Sale <sup>25</sup>
	1.000	10.94	06/25/20	6.99	...	3.95	4 of 5 - Sale <sup>25</sup>
	142.000	1,552.79	06/25/20	994.00	...	558.79	5 of 5 - Sale <sup>25</sup>
07/06/20	226.000	2,471.36	Various	2,236.53	...	234.83	Total of 5 transactions
DIREXION DAILY JUNIOR GOLD MIN ERS INDEX BULL 2X SHARES / CUSIP: 25460E166 / Symbol:							
04/09/20	12.000	73.56	04/08/20	60.84	...	12.72	Sale <sup>25</sup>
DIREXION DAILY S&P OIL & GAS E XP. & PROD. BULL 2X SHARES / CUSIP: 25460G500 / Symbol:							
2 transactions for 10/19/20. Total proceeds and cost reported to the IRS.							
	15.000	344.13	06/12/20	677.26	...	-333.13	1 of 2 - Sale <sup>25</sup>
	1.000	22.90	06/12/20	45.15	...	-22.25	2 of 2 - Sale <sup>25</sup>
10/19/20	16.000	367.03	Various	722.41	...	-355.38	Total of 2 transactions
DIREXION DAILY JUNIOR GOLD MIN ERS INDEX BULL 2X SHARES / CUSIP: 25460G831 / Symbol:							
05/06/20	0.800	60.51	04/08/20	40.56	...	19.95	Cash in lieu
7 transactions for 07/06/20. Total proceeds and cost reported to the IRS.							
	3.000	341.09	04/08/20	152.10	...	188.99	1 of 7 - Sale <sup>25</sup>
	2.000	227.39	04/13/20	138.60	...	88.79	2 of 7 - Sale <sup>25</sup>
	0.100	11.37	04/14/20	7.38	...	3.99	3 of 7 - Sale <sup>25</sup>
	0.200	22.74	04/14/20	14.16	...	8.58	4 of 7 - Sale <sup>25</sup>

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Robinhood Securities LLC

Account 130620529

**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
DIREXION DAILY JUNIOR GOLD MIN ERS INDEX BULL 2X SHARES / CUSIP: 25460G831 / Symbol: (cont'd)							
	2.700	306.98	04/14/20	191.16	...	115.82	5 of 7 - Sale <sup>25</sup>
	1.000	113.70	05/08/20	86.17	...	27.53	6 of 7 - Sale <sup>25</sup>
	1.000	113.70	05/11/20	84.94	...	28.76	7 of 7 - Sale <sup>25</sup>
07/06/20	10.000	1,136.97	Various	674.51	...	462.46	Total of 7 transactions
	2 transactions for 08/31/20. Total proceeds and cost reported to the IRS.						
	1.000	156.40	05/11/20	84.94	...	71.46	1 of 2 - Sale <sup>25</sup>
	2.000	309.25	05/11/20	169.88	...	139.37	2 of 2 - Sale <sup>25</sup>
08/31/20	3.000	465.65	Various	254.82	...	210.83	Total of 2 transactions
09/15/20	1.000	160.30	05/11/20	84.94	...	75.36	Sale <sup>25</sup>
	2 transactions for 11/05/20. Total proceeds and cost reported to the IRS.						
	1.000	137.98	05/11/20	84.94	...	53.04	1 of 2 - Sale <sup>25</sup>
	4.000	551.90	10/27/20	523.08	...	28.82	2 of 2 - Sale <sup>25</sup>
11/05/20	5.000	689.88	Various	608.02	...	81.86	Total of 2 transactions
	<b>Security total:</b>	<b>2,513.31</b>		<b>1,662.85</b>	...	<b>850.46</b>	
ELECTRAMECCANICA VEHICLES CORP . LTD. COMMON STOCK / CUSIP: 284849205 / Symbol:							
11/20/20	9.000	102.62	11/13/20	56.70	...	45.92	Sale <sup>25</sup>
FACEBOOK, INC. CLASS A COMMON STOCK / CUSIP: 30303M102 / Symbol:							
11/23/20	3.000	795.40	11/20/20	816.66	...	-21.26	Sale <sup>25</sup>
FORD MOTOR COMPANY / CUSIP: 345370860 / Symbol:							
	2 transactions for 08/12/20. Total proceeds and cost reported to the IRS.						
	1.000	7.31	02/18/20	8.05	...	-0.74	1 of 2 - Sale <sup>25</sup>
	1.000	7.31	06/18/20	6.32	...	0.99	2 of 2 - Sale <sup>25</sup>
08/12/20	2.000	14.62	Various	14.37	...	0.25	Total of 2 transactions
INVESCO MORTGAGE CAPITAL INC. / CUSIP: 46131B100 / Symbol:							
	3 transactions for 10/22/20. Total proceeds and cost reported to the IRS.						
	11.000	29.94	05/18/20	31.52	...	-1.58	1 of 3 - Sale <sup>25</sup>
	113.000	307.62	06/09/20	698.34	...	-390.72	2 of 3 - Sale <sup>25</sup>
	26.000	70.78	06/09/20	160.68	...	-89.90	3 of 3 - Sale <sup>25</sup>
10/22/20	150.000	408.34	Various	890.54	...	-482.20	Total of 3 transactions

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Robinhood Securities LLC

Account 130620529

## 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
INVESCO MORTGAGE CAPITAL INC. / CUSIP: 46131B100 / Symbol: (cont'd)							
8 transactions for 10/23/20. Total proceeds and cost reported to the IRS.							
	22.000	62.07	06/09/20	135.96	...	-73.89	1 of 8 - Sale <sup>25</sup>
	2.000	5.64	06/10/20	10.82	...	-5.18	2 of 8 - Sale <sup>25</sup>
	15.000	42.32	06/11/20	64.65	...	-22.33	3 of 8 - Sale <sup>25</sup>
	1.000	2.82	06/11/20	4.32	...	-1.50	4 of 8 - Sale <sup>25</sup>
	1.000	2.82	06/30/20	4.54	...	-1.72	5 of 8 - Sale <sup>25</sup>
	245.000	693.72	07/06/20	815.29	...	-121.57	6 of 8 - Sale <sup>25</sup>
	209.000	589.70	07/06/20	695.49	...	-105.79	7 of 8 - Sale <sup>25</sup>
	175.000	495.65	07/06/20	582.35	...	-86.70	8 of 8 - Sale <sup>25</sup>
10/23/20	670.000	1,894.74	Various	2,313.42	...	-418.68	Total of 8 transactions
	<b>Security total:</b>	<b>2,303.08</b>		<b>3,203.96</b>	...	<b>-900.88</b>	
LUCKIN COFFEE INC AMERICAN DEP OSITARY SHARES - SPONSORED / CUSIP: 54951L109 / Symbol:							
2 transactions for 07/01/20. Total proceeds and cost reported to the IRS.							
	1.000	2.74	05/21/20	2.12	...	0.62	1 of 2 - Sale <sup>25</sup>
	6.000	16.44	05/21/20	15.00	...	1.44	2 of 2 - Sale <sup>25</sup>
07/01/20	7.000	19.18	Various	17.12	...	2.06	Total of 2 transactions
MAGELLAN MIDSTREAM PARTNERS, L .P. / CUSIP: 559080106 / Symbol:							
10/30/20	3.000	106.91	10/27/20	107.76	...	-0.85	Sale <sup>25</sup>
NIO INC. AMERICAN DEPOSITARY S HARES, EACH REPRESENTING ONE C LASS A ORDINARY SHARE / CUSIP: 62914V106 / Symbol:							
12/02/20	3.000	139.35	11/06/20	126.54	...	12.81	Sale <sup>25</sup>
NEW YORK MORTGAGE TRUST, INC. COMMON STOCK / CUSIP: 649604501 / Symbol:							
06/04/20	145.000	394.76	06/03/20	317.19	...	77.57	Sale <sup>25</sup>
5 transactions for 08/06/20. Total proceeds and cost reported to the IRS.							
	73.000	205.33	06/03/20	159.69	...	45.64	1 of 5 - Sale <sup>25</sup>
	116.000	326.27	06/08/20	358.44	...	-32.17	2 of 5 - Sale <sup>25</sup>
	50.000	140.63	06/08/20	152.87	...	-12.24	3 of 5 - Sale <sup>25</sup>
	7.000	19.69	06/08/20	21.40	...	-1.71	4 of 5 - Sale <sup>25</sup>
	2.000	5.63	06/08/20	6.19	...	-0.56	5 of 5 - Sale <sup>25</sup>
08/06/20	248.000	697.55	Various	698.59	...	-1.04	Total of 5 transactions
	<b>Security total:</b>	<b>1,092.31</b>		<b>1,015.78</b>	...	<b>76.53</b>	

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Robinhood Securities LLC

Account 130620529

## 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
OCUGEN, INC. COMMON STOCK / CUSIP: 67577C105 / Symbol:							
3 transactions for 12/23/20. Total proceeds and cost reported to the IRS.							
	14.000	26.18	07/28/20	12.56	...	13.62	1 of 3 - Sale <sup>25</sup>
	17.000	31.79	07/28/20	12.75	...	19.04	2 of 3 - Sale <sup>25</sup>
	469.000	877.09	07/28/20	351.75	...	525.34	3 of 3 - Sale <sup>25</sup>
12/23/20	500.000	935.06	Various	377.06	...	558.00	Total of 3 transactions
ROCKET COMPANIES, INC. / CUSIP: 77311W101 / Symbol:							
08/21/20	24.000	605.98	08/06/20	468.72	...	137.26	Sale <sup>25</sup>
08/31/20	2.000	56.06	08/06/20	39.06	...	17.00	Sale <sup>25</sup>
	<b>Security total:</b>	<b>662.04</b>		<b>507.78</b>	...	<b>154.26</b>	
SUNDIAL GROWERS INC. COMMON SH ARES / CUSIP: 86730L109 / Symbol:							
4 transactions for 12/01/20. Total proceeds and cost reported to the IRS.							
	1.000	0.83	11/30/20	0.70	...	0.13	1 of 4 - Sale <sup>25</sup>
	3.000	2.47	11/30/20	2.10	...	0.37	2 of 4 - Sale <sup>25</sup>
	10.000	8.25	11/30/20	7.01	...	1.24	3 of 4 - Sale <sup>25</sup>
	130.000	107.23	11/30/20	91.53	...	15.70	4 of 4 - Sale <sup>25</sup>
12/01/20	144.000	118.78	Various	101.34	...	17.44	Total of 4 transactions
T-MOBILE US, INC. SUBSCRIPTION RIGHTS EXPIRING 7/27/2020 / CUSIP: 872590112 / Symbol:							
07/06/20	1.000	0.21	02/18/20	0.00	...	0.21	Sale <sup>25</sup>
TESLA, INC. COMMON STOCK / CUSIP: 88160R101 / Symbol:							
2 transactions for 11/03/20. Total proceeds and cost reported to the IRS.							
	1.000	412.54	08/31/20	473.00	60.46 W	0.00	1 of 2 - Sale <sup>25</sup>
	1.000	412.55	10/26/20	415.86	3.31 W	0.00	2 of 2 - Sale <sup>25</sup>
11/03/20	2.000	825.09	Various	888.86	63.77 W	0.00	Total of 2 transactions
12/21/20	1.000	651.82	10/30/20	449.42	...	202.40	Sale <sup>25</sup>
	<b>Security total:</b>	<b>1,476.91</b>		<b>1,338.28</b>	<b>63.77 W</b>	<b>202.40</b>	

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Robinhood Securities LLC

Account 130620529

**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
UNITED AIRLINES HOLDINGS, INC. COMMON STOCK / CUSIP: 910047109 / Symbol:							
2 transactions for 05/20/20. Total proceeds and cost reported to the IRS.							
	20.000	498.27	05/05/20	500.00	...	-1.73	1 of 2 - Sale <sup>25</sup>
	3.000	74.75	05/06/20	69.00	...	5.75	2 of 2 - Sale <sup>25</sup>
05/20/20	23.000	573.02	Various	569.00	...	4.02	Total of 2 transactions
XL FLEET CORP. / CUSIP: 9837FR100 / Symbol:							
2 transactions for 12/24/20. Total proceeds and cost reported to the IRS.							
	1.000	30.60	12/23/20	29.19	...	1.41	1 of 2 - Sale <sup>25</sup>
	20.000	612.06	12/23/20	583.80	...	28.26	2 of 2 - Sale <sup>25</sup>
12/24/20	21.000	642.66	Various	612.99	...	29.67	Total of 2 transactions
ZYNGA INC. CLASS A COMMON STOC K / CUSIP: 98986T108 / Symbol:							
09/15/20	11.000	93.99	08/21/20	102.85	...	-8.86	Sale <sup>25</sup>
09/23/20	10.000	87.42	08/21/20	93.50	...	-6.08	Sale <sup>25</sup>
09/29/20	40.000	368.47	08/21/20	374.00	...	-5.53	Sale <sup>25</sup>
	<b>Security total:</b>	<b>549.88</b>		<b>570.35</b>	...	<b>-20.47</b>	
<b>Totals :</b>		<b>47,435.95</b>		<b>65,184.28</b>	<b>14,732.25 W</b>	<b>-3,016.08</b>	

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

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

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
ZYNGA INC. CLASS A COMMON STOC K / CUSIP: 98986T108 / Symbol:							
09/15/20	1.000	8.55	11/29/17	4.08	...	4.47	Sale <sup>25</sup>
<b>Totals :</b>		<b>8.55</b>		<b>4.08</b>		<b>4.47</b>	

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Robinhood Securities LLC

Account 130620529

## Proceeds Not Reported to the IRS

2020

02/14/2021

This section of your tax information statement provides proceeds transactions that are not reported to the IRS, but may have a tax impact. They are grouped by term (long, short or undetermined). For tax lots whose term is undetermined, use your historical documents to establish the cost basis and date of purchase.

Several columns include both an amount and a qualifying notation to its right. Where proceeds are the result of an option exercise or assignment, there is indication of whether the amount is N (net of option premium) or G (Gross). Accrued Market Discount and Wash Sale Loss Disallowed appear in the same column, identified by the letters D or W, respectively. Where you are not permitted to recognize a loss, an indication of X (change in control or capital structure) or Z (other corporate action) is used.

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

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

Report on Form 8949, Part I, with Box C checked.

**Description of property**

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
CALLON PETROLEUM COMPANY / CUSIP: 13123X508 / Symbol:							
3 transactions for 08/14/20							
	0.100	0.96	06/08/20	2.00	...	-1.04	Gain or loss
	0.200	1.91	06/25/20	2.36	...	-0.45	Gain or loss
	0.100	0.96	07/02/20	1.21	...	-0.25	Gain or loss
08/14/20	0.400	3.83	Various	5.57	...	-1.74	Total of 3 transactions
INVESCO MORTGAGE CAPITAL INC. / CUSIP: 46131B100 / Symbol:							
07/08/20	0.211	0.28	06/30/20	0.96	...	-0.68	Gain or loss
T-MOBILE US, INC. COMMON STOCK / CUSIP: 872590104 / Symbol:							
2 transactions for 04/06/20							
	0.103	8.94	02/03/20	4.85	...	4.09	Gain or loss
	0.026	2.23	02/18/20	2.30	...	-0.07	Gain or loss
04/06/20	0.128	11.17	Various	7.15	...	4.02	Total of 2 transactions
WHITING PETROLEUM CORP SERIES A WARRANT EXP 09/01/2024 / CUSIP: 966387110 / Symbol:							
2 transactions for 09/14/20							
	0.629	2.86	05/13/20	0.00	...	2.86	Gain or loss

Robinhood Securities LLC

Account 130620529

**Proceeds Not Reported to the IRS**

2020

(continued)

02/14/2021

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

Report on Form 8949, Part I, with Box C checked.

**Description of property**

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
WHITING PETROLEUM CORP SERIES A WARRANT EXP 09/01/2024 / CUSIP: 966387110 / Symbol: (cont'd)							
	0.052	0.24	07/07/20	0.00	...	0.24	Gain or loss
09/14/20	0.681	3.10	Various	0.00	...	3.10	Total of 2 transactions
WHITING PETROLEUM CORP SERIES B WARRANT EXP 09/01/2024 / CUSIP: 966387128 / Symbol:							
2 transactions for 09/14/20							
	0.314	1.42	05/13/20	0.00	...	1.42	Gain or loss
	0.026	0.12	07/07/20	0.00	...	0.12	Gain or loss
09/14/20	0.340	1.54	Various	0.00	...	1.54	Total of 2 transactions
WHITING PETROLEUM CORPORATION / CUSIP: 966387508 / Symbol:							
2 transactions for 09/14/20							
	0.160	4.49	05/13/20	12.48	...	-7.99	Gain or loss
	0.013	0.37	07/07/20	1.07	...	-0.70	Gain or loss
09/14/20	0.174	4.86	Various	13.55	...	-8.69	Total of 2 transactions
<b>Totals:</b>		<b>24.78</b>		<b>27.23</b>	...	<b>-2.45</b>	

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

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

**Description of property**

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
CHESAPEAKE ENERGY CORP COMMON STOCK / CUSIP: 165167743 / Symbol:							
04/27/20	0.005	0.08	12/22/17	3.86	...	-3.78	Gain or loss



Robinhood Securities LLC

Account 130620529

**Proceeds Not Reported to the IRS**

2020

(continued)

02/14/2021

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

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

**Description of property**

<b>Date sold or disposed</b>	<b>Quantity</b>	<b>Proceeds &amp; Reported (G)ross or (N)et</b>	<b>Date acquired</b>	<b>Cost or other basis</b>	<b>Accrued mkt disc (D) &amp; Wash sale loss disallowed (W)</b>	<b>Gain or loss(-) &amp; Loss not allowed (X) also not reported (Z)</b>	<b>Additional information</b>
Groupon, Inc. Common Stock / CUSIP: 399473206 / Symbol:							
06/18/20	0.050	1.05	11/14/17	5.33	...	-4.28	Gain or loss
T-Mobile US, Inc. Common Stock / CUSIP: 872590104 / Symbol:							
04/06/20	0.103	8.93	12/18/17	5.68	...	3.25	Gain or loss
<b>Totals:</b>		<b>10.06</b>		<b>14.87</b>	...	<b>-4.81</b>	

Robinhood Securities LLC

Account 130620529

## 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
AGNC INVESTMENT CORP. COMMON STOCK	00123Q104		11/10/20	0.80	Long-term capital gain	03
			11/10/20	0.40	Section 199A dividend	03
			12/09/20	0.72	Long-term capital gain	03
			12/09/20	0.36	Section 199A dividend	03
			01/12/21	0.80	Long-term capital gain	03
			01/12/21	0.40	Section 199A dividend	03
			<b>3.48</b>	<b>Total Dividends &amp; distributions</b>		
APPLE INC. COMMON STOCK	037833100		11/12/20	0.62	Qualified dividend	
VELOCITYSHARES3X LONG CRUDE OIL ETNS LINKED TO THE S&P GSCI CRUDE OIL INDEX ER	17325E291		04/03/20	111.83	Cash liquidation	
DIREXION DAILY S&P OIL & GAS EXP. & PROD. BULL 2X SHARES	25460G500		06/30/20	0.20	Qualified dividend	
			09/29/20	0.01	Qualified dividend	
			12/30/20	0.39	Qualified dividend	
			<b>0.60</b>	<b>Total Dividends &amp; distributions</b>		
INVESCO MORTGAGE CAPITAL INC.	46131B100		06/30/20	0.61	Nondividend distribution	03
			07/28/20	3.82	Nondividend distribution	03
			10/27/20	63.75	Nondividend distribution	03
			<b>68.18</b>	<b>Total Dividends &amp; distributions</b>		
MICROSOFT CORPORATION COMMON STOCK	594918104		12/10/20	1.68	Qualified dividend	
NEW YORK MORTGAGE TRUST, INC. COMMON STOCK	649604501		07/27/20	9.90	Section 199A dividend	03
			07/27/20	2.50	Nondividend distribution	03
			<b>12.40</b>	<b>Total Dividends &amp; distributions</b>		

Robinhood Securities LLC

Account 130620529

## Detail for Dividends and Distributions

2020

(continued)

02/14/2021

Security description	CUSIP and/or symbol	State	Date	Amount	Transaction type	Notes
SIRIUS XM HOLDINGS INC. COMMON STOCK	82968B103		02/28/20	0.01	Qualified dividend	
			05/29/20	0.01	Qualified dividend	
			08/31/20	0.03	Qualified dividend	
			11/30/20	0.03	Qualified dividend	
				<b>0.08</b>	<b>Total Dividends &amp; distributions</b>	
				<b>198.87</b>	<b>Total Dividends &amp; distributions</b>	

Robinhood Securities LLC

Account 130620529

**Other Receipts and Reconciliations**

2020

02/14/2021

*This section of your tax information statement contains the detail of the year-to-year adjustments between cash distributions and reportable income for Unit Investment Trusts, reflecting the fact that income is recognized at the time it is received by the trust, rather than when a distribution is made.*

*Also shown are distributions whose tax impact will be defined by other documentation. In the case of partnership distributions, you will receive Schedule K-1 (Form 1065) directly from the partnership(s). For deferred income, the Form 1099-DIV issued in the following year will characterize the amounts received.*

*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.*

<b>Security description</b>	<b>CUSIP and/or symbol</b>	<b>Date</b>	<b>Amount</b>	<b>Transaction type</b>	<b>Notes</b>
MAGELLAN MIDSTREAM PARTNERS, L .P.	559080106	11/13/20	1.03	Partnership distribution	
			<b>1.03</b>	<b>Total Partnership distribution</b>	

Robinhood Securities LLC

Account 130620529

**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
		10/09/20	-5.00	Margin interest paid	
		11/09/20	-5.00	Margin interest paid	
		12/08/20	-5.00	Margin interest paid	
			-15.00	Total Margin interest paid	
			<b>-15.00</b>	<b>Total Margin interest paid</b>	

Robinhood Securities LLC

Account 130620529

## Non-Reportable Actions

2020

02/14/2021

Security Description	CUSIP and/or symbol	Date	Quantity	Amount	Transaction type	Notes
VELOCITYSHARES3X LONG CRUDE OIL ETNS LINKED TO THE S&P GSCI CRUDE OIL INDEX ER	17325E291	04/03/20	-679.00	0.00	Exchange	
INVESCO MORTGAGE CAPITAL INC.	46131B100	06/30/20	1.00	0.00	Stock dividend	
SPRINT CORPORATION	85207U105	04/01/20	-12.00	0.00	Merger	
T-MOBILE US, INC. COMMON STOCK	872590104	04/01/20	1.00	0.00	Merger	
T-MOBILE US, INC. SUBSCRIPTION RIGHTS EXPIRING 7/27/2020	872590112	06/26/20	2.00	0.00	Stock spinoff	
WHITING PETROLEUM CORPORATION	966387409	09/02/20	-13.00	0.00	Merger	

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

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

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**Common Instructions for Recipient**

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

**Instructions for Recipient**

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

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

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

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

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

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

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

**1099-B Instructions for Recipient**

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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