

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 476162474	Statement Date: 02/14/2021 Document ID: CTTU 1N9 UBBJ	2020
	Divya Sanam 19 Doral Drive 19 Marlboro Township, NJ 07746 RECIPIENT'S TIN: XXX-XX-0862		

Summary Information

<p>DIVIDENDS AND DISTRIBUTIONS 2020 1099-DIV* OMB No. 1545-0110</p> <p>1a- Total ordinary dividends (includes lines 1b, 5) 0.00</p> <p>1b- Qualified dividends 0.00</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)	388,939.28	390,323.63	0.00	10,212.33	8,827.98
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	388,939.28	390,323.63	0.00	10,212.33	8,827.98
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	388,939.28	390,323.63	0.00	10,212.33	8,827.98

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.

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Summary Information

2020

(continued)

02/14/2021

INTEREST INCOME

2020 1099-INT

OMB No. 1545-0112

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

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

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

STATE TAX WITHHELD

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

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

ORIGINAL ISSUE DISCOUNT AND ADJUSTMENTS

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

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

RECONCILIATIONS, FEES, EXPENSES AND EXPENDITURES

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

Other Receipts & Reconciliations- Partnership distributions	0.00
Other Receipts & Reconciliations- Foreign tax paid- partnership	0.00
Other Receipts & Reconciliations- Return of principal	0.00
Other Receipts & Reconciliations- Deferred income payment	0.00
Other Receipts & Reconciliations- Deemed premium	0.00
Other Receipts & Reconciliations- Income accrual- UIT	0.00
Other Receipts & Reconciliations- Basis adjustments	0.00
Other Receipts & Reconciliations- Foreign tax pd beyond treaty	0.00
Fees & Expenses- Margin interest	40.00
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

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

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

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

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

FATCA filing requirement []

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

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

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

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
AES CORPORATION / CUSIP: 00130H105 / Symbol:							
14 transactions for 05/18/20. Total proceeds and cost reported to the IRS.							
	1.000	12.97	05/07/20	12.42	...	0.55	1 of 14 - Sale ²⁵
	3.000	38.92	05/07/20	37.26	...	1.66	2 of 14 - Sale ²⁵
	5.000	64.86	05/07/20	62.10	...	2.76	3 of 14 - Sale ²⁵
	6.000	77.83	05/07/20	74.52	...	3.31	4 of 14 - Sale ²⁵
	7.000	90.80	05/07/20	86.94	...	3.86	5 of 14 - Sale ²⁵
	12.000	155.66	05/07/20	149.04	...	6.62	6 of 14 - Sale ²⁵
	17.000	220.52	05/07/20	211.14	...	9.38	7 of 14 - Sale ²⁵
	20.000	259.43	05/07/20	248.40	...	11.03	8 of 14 - Sale ²⁵
	24.000	311.32	05/07/20	298.08	...	13.24	9 of 14 - Sale ²⁵
	27.000	350.23	05/07/20	335.34	...	14.89	10 of 14 - Sale ²⁵
	38.000	492.92	05/07/20	471.96	...	20.96	11 of 14 - Sale ²⁵
	40.000	518.87	05/07/20	496.80	...	22.07	12 of 14 - Sale ²⁵

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Account 476162474

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
AES CORPORATION / CUSIP: 00130H105 / Symbol: (cont'd)							
	50.000	648.59	05/07/20	621.00	...	27.59	13 of 14 - Sale ²⁵
	100.000	1,297.17	05/07/20	1,242.00	...	55.17	14 of 14 - Sale ²⁵
05/18/20	350.000	4,540.09	Various	4,347.00	...	193.09	Total of 14 transactions
	2 transactions for 06/24/20. Total proceeds and cost reported to the IRS.						
	100.000	1,384.97	06/09/20	1,390.00	...	-5.03	1 of 2 - Sale ²⁵
	91.000	1,260.32	06/09/20	1,264.90	...	-4.58	2 of 2 - Sale ²⁵
06/24/20	191.000	2,645.29	Various	2,654.90	...	-9.61	Total of 2 transactions
	Security total:	7,185.38		7,001.90	...	183.48	
AMC ENTERTAINMENT HOLDINGS, IN C. / CUSIP: 00165C104 / Symbol:							
	12 transactions for 10/08/20. Total proceeds and cost reported to the IRS.						
	1.000	4.13	10/07/20	4.03	...	0.10	1 of 12 - Sale ²⁵
	2.000	8.26	10/07/20	8.05	...	0.21	2 of 12 - Sale ²⁵
	2.000	8.26	10/07/20	8.05	...	0.21	3 of 12 - Sale ²⁵
	5.000	20.65	10/07/20	20.13	...	0.52	4 of 12 - Sale ²⁵
	5.000	20.65	10/07/20	20.12	...	0.53	5 of 12 - Sale ²⁵
	10.000	41.30	10/07/20	40.25	...	1.05	6 of 12 - Sale ²⁵
	10.000	41.30	10/07/20	40.25	...	1.05	7 of 12 - Sale ²⁵
	25.000	103.25	10/07/20	100.63	...	2.62	8 of 12 - Sale ²⁵
	100.000	412.98	10/07/20	402.50	...	10.48	9 of 12 - Sale ²⁵
	195.000	805.31	10/07/20	784.87	...	20.44	10 of 12 - Sale ²⁵
	245.000	1,011.79	10/07/20	986.12	...	25.67	11 of 12 - Sale ²⁵
	393.000	1,623.00	10/07/20	1,581.83	...	41.17	12 of 12 - Sale ²⁵
10/08/20	993.000	4,100.88	Various	3,996.83	...	104.05	Total of 12 transactions
AMERICAN AIRLINES GROUP INC. C OMMON STOCK / CUSIP: 02376R102 / Symbol:							
05/07/20	99.000	963.23	05/05/20	951.25	...	11.98	Sale ²⁵
11/05/20	500.000	5,746.26	11/04/20	5,565.00	...	181.26	Sale ²⁵
	Security total:	6,709.49		6,516.25	...	193.24	

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Account 476162474

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
APHRIA INC. COMMON SHARES / CUSIP: 03765K104 / Symbol:							
3 transactions for 07/13/20. Total proceeds and cost reported to the IRS.							
	100.000	457.98	07/09/20	423.00	...	34.98	1 of 3 - Sale ²⁵
	400.000	1,827.90	07/09/20	1,692.00	...	135.90	2 of 3 - Sale ²⁵
	400.000	1,831.90	07/09/20	1,692.00	...	139.90	3 of 3 - Sale ²⁵
07/13/20	900.000	4,117.78	Various	3,807.00	...	310.78	Total of 3 transactions
APPLE INC. COMMON STOCK / CUSIP: 037833100 / Symbol:							
2 transactions for 10/29/20. Total proceeds and cost reported to the IRS.							
	1.000	114.50	10/28/20	112.40	...	2.10	1 of 2 - Sale ²⁵
	89.000	10,190.26	10/28/20	10,000.93	...	189.33	2 of 2 - Sale ²⁵
10/29/20	90.000	10,304.76	Various	10,113.33	...	191.43	Total of 2 transactions
ASTRAZENECA PLC AMERICAN DEPOS ITARY SHARES / CUSIP: 046353108 / Symbol:							
06/24/20	80.000	4,171.19	06/04/20	4,331.20	...	-160.01	Sale ²⁵
10/08/20	56.000	3,036.86	10/07/20	3,002.72	...	34.14	Sale ²⁵
	Security total:	7,208.05		7,333.92	...	-125.87	
AURORA CANNABIS INC. COMMON SH ARES / CUSIP: 05156X884 / Symbol:							
10/08/20	630.000	3,030.22	10/07/20	2,745.98	...	284.24	Sale ²⁵
7 transactions for 10/12/20. Total proceeds and cost reported to the IRS.							
	150.000	752.96	10/12/20	735.00	...	17.96	1 of 7 - Sale ²⁵
	150.000	752.96	10/12/20	735.00	...	17.96	2 of 7 - Sale ²⁵
	350.000	1,756.92	10/12/20	1,715.00	...	41.92	3 of 7 - Sale ²⁵
	500.000	2,509.88	10/12/20	2,450.00	...	59.88	4 of 7 - Sale ²⁵
	500.000	2,509.88	10/12/20	2,450.00	...	59.88	5 of 7 - Sale ²⁵
	500.000	2,509.88	10/12/20	2,450.00	...	59.88	6 of 7 - Sale ²⁵
	500.000	2,509.89	10/12/20	2,450.00	...	59.89	7 of 7 - Sale ²⁵
10/12/20	2,650.000	13,302.37	Various	12,985.00	...	317.37	Total of 7 transactions
10/16/20	550.000	2,261.15	10/13/20	2,667.50	...	-406.35	Sale ²⁵
	Security total:	18,593.74		18,398.48	...	195.26	

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Account 476162474

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
BJS WHOLESALE CLUB HOLDINGS, I NC. COMMON STOCK / CUSIP: 05550J101 / Symbol:							
2 transactions for 06/22/20. Total proceeds and cost reported to the IRS.							
	25.000	928.72	06/04/20	889.20	...	39.52	1 of 2 - Sale ²⁵
	100.000	3,714.90	06/04/20	3,556.81	...	158.09	2 of 2 - Sale ²⁵
06/22/20	125.000	4,643.62	Various	4,446.01	...	197.61	Total of 2 transactions
CANOPY GROWTH CORPORATION COMM ON SHARES / CUSIP: 138035100 / Symbol:							
2 transactions for 05/18/20. Total proceeds and cost reported to the IRS.							
	5.000	82.65	05/12/20	73.40	...	9.25	1 of 2 - Sale ²⁵
	24.000	396.75	05/12/20	352.32	...	44.43	2 of 2 - Sale ²⁵
05/18/20	29.000	479.40	Various	425.72	...	53.68	Total of 2 transactions
4 transactions for 11/05/20. Total proceeds and cost reported to the IRS.							
	24.000	509.55	11/04/20	450.72	...	58.83	1 of 4 - Sale ²⁵
	42.000	891.71	11/04/20	788.76	...	102.95	2 of 4 - Sale ²⁵
	58.000	1,231.42	11/04/20	1,089.24	...	142.18	3 of 4 - Sale ²⁵
	76.000	1,613.58	11/04/20	1,427.28	...	186.30	4 of 4 - Sale ²⁵
11/05/20	200.000	4,246.26	Various	3,756.00	...	490.26	Total of 4 transactions
	Security total:	4,725.66		4,181.72	...	543.94	
CARS.COM INC. COMMON STOCK / CUSIP: 14575E105 / Symbol:							
05/21/20	118.000	711.75	05/12/20	687.94	...	23.81	Sale ²⁵
FUELCELL ENERGY, INC. COMMON S TOCK / CUSIP: 35952H601 / Symbol:							
6 transactions for 10/09/20. Total proceeds and cost reported to the IRS.							
	8.000	20.89	10/08/20	18.72	...	2.17	1 of 6 - Sale ²⁵
	100.000	261.16	10/08/20	234.00	...	27.16	2 of 6 - Sale ²⁵
	237.000	618.96	10/08/20	554.58	...	64.38	3 of 6 - Sale ²⁵
	500.000	1,305.81	10/08/20	1,170.00	...	135.81	4 of 6 - Sale ²⁵
	500.000	1,305.81	10/08/20	1,170.00	...	135.81	5 of 6 - Sale ²⁵
	2,600.000	6,790.22	10/08/20	6,318.00	...	472.22	6 of 6 - Sale ²⁵
10/09/20	3,945.000	10,302.85	Various	9,465.30	...	837.55	Total of 6 transactions

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(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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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
GENERAL ELECTRIC COMPANY / CUSIP: 369604103 / Symbol:							
2 transactions for 05/08/20. Total proceeds and cost reported to the IRS.							
	7.000	43.85	05/05/20	43.45	...	0.40	1 of 2 - Sale ²⁵
	100.000	626.48	05/06/20	624.00	...	2.48	2 of 2 - Sale ²⁵
05/08/20	107.000	670.33	Various	667.45	...	2.88	Total of 2 transactions
HERTZ GLOBAL HOLDINGS, INC. CO MMON STOCK / CUSIP: 42806J106 / Symbol:							
9 transactions for 10/16/20. Total proceeds and cost reported to the IRS.							
	63.000	161.27	10/16/20	159.39	...	1.88	1 of 9 - Sale ²⁵
	288.000	737.23	10/16/20	728.64	...	8.59	2 of 9 - Sale ²⁵
	333.000	852.42	10/16/20	842.49	...	9.93	3 of 9 - Sale ²⁵
	407.000	1,041.85	10/16/20	1,029.71	...	12.14	4 of 9 - Sale ²⁵
	500.000	1,279.91	10/16/20	1,265.00	...	14.91	5 of 9 - Sale ²⁵
	737.000	1,886.59	10/16/20	1,864.61	...	21.98	6 of 9 - Sale ²⁵
	962.000	2,462.55	10/16/20	2,433.86	...	28.69	7 of 9 - Sale ²⁵
	1,160.000	2,969.39	10/16/20	2,934.80	...	34.59	8 of 9 - Sale ²⁵
	2,000.000	5,119.64	10/16/20	5,060.00	...	59.64	9 of 9 - Sale ²⁵
10/16/20	6,450.000	16,510.85	Various	16,318.50	...	192.35	Total of 9 transactions
HEXO CORP. / CUSIP: 428304109 / Symbol:							
62 transactions for 10/29/20. Total proceeds and cost reported to the IRS.							
	2.000	1.44	10/29/20	1.42	...	0.02	1 of 62 - Sale ²⁵
	6.000	4.33	10/29/20	4.25	...	0.08	2 of 62 - Sale ²⁵
	14.000	10.11	10/29/20	9.92	...	0.19	3 of 62 - Sale ²⁵
	36.000	26.01	10/29/20	25.51	...	0.50	4 of 62 - Sale ²⁵
	50.000	36.12	10/29/20	35.43	...	0.69	5 of 62 - Sale ²⁵
	64.000	46.24	10/29/20	45.35	...	0.89	6 of 62 - Sale ²⁵
	80.000	57.79	10/29/20	56.69	...	1.10	7 of 62 - Sale ²⁵
	100.000	72.24	10/29/20	70.86	...	1.38	8 of 62 - Sale ²⁵
	100.000	72.24	10/29/20	70.86	...	1.38	9 of 62 - Sale ²⁵
	100.000	72.24	10/29/20	70.86	...	1.38	10 of 62 - Sale ²⁵
	100.000	72.24	10/29/20	70.86	...	1.38	11 of 62 - Sale ²⁵
	100.000	72.24	10/29/20	70.86	...	1.38	12 of 62 - Sale ²⁵
	100.000	72.24	10/29/20	70.86	...	1.38	13 of 62 - Sale ²⁵
	100.000	72.24	10/29/20	70.86	...	1.38	14 of 62 - Sale ²⁵

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Robinhood Securities LLC

Account 476162474

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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HEXO CORP. / CUSIP: 428304109 / Symbol: (cont'd)							
100.000		72.24	10/29/20	70.86	...	1.38	15 of 62 - Sale ²⁵
100.000		72.24	10/29/20	70.86	...	1.38	16 of 62 - Sale ²⁵
100.000		72.24	10/29/20	70.86	...	1.38	17 of 62 - Sale ²⁵
100.000		72.24	10/29/20	70.86	...	1.38	18 of 62 - Sale ²⁵
100.000		72.24	10/29/20	70.86	...	1.38	19 of 62 - Sale ²⁵
100.000		72.24	10/29/20	70.86	...	1.38	20 of 62 - Sale ²⁵
100.000		72.24	10/29/20	70.86	...	1.38	21 of 62 - Sale ²⁵
100.000		72.24	10/29/20	70.86	...	1.38	22 of 62 - Sale ²⁵
100.000		72.24	10/29/20	70.86	...	1.38	23 of 62 - Sale ²⁵
100.000		72.24	10/29/20	70.86	...	1.38	24 of 62 - Sale ²⁵
100.000		72.24	10/29/20	70.86	...	1.38	25 of 62 - Sale ²⁵
100.000		72.24	10/29/20	70.86	...	1.38	26 of 62 - Sale ²⁵
100.000		72.24	10/29/20	70.86	...	1.38	27 of 62 - Sale ²⁵
100.000		72.24	10/29/20	70.86	...	1.38	28 of 62 - Sale ²⁵
100.000		72.24	10/29/20	70.86	...	1.38	29 of 62 - Sale ²⁵
100.000		72.24	10/29/20	70.86	...	1.38	30 of 62 - Sale ²⁵
100.000		72.24	10/29/20	70.86	...	1.38	31 of 62 - Sale ²⁵
100.000		72.24	10/29/20	70.86	...	1.38	32 of 62 - Sale ²⁵
100.000		72.24	10/29/20	70.86	...	1.38	33 of 62 - Sale ²⁵
100.000		72.24	10/29/20	70.86	...	1.38	34 of 62 - Sale ²⁵
100.000		72.24	10/29/20	70.86	...	1.38	35 of 62 - Sale ²⁵
100.000		72.24	10/29/20	70.86	...	1.38	36 of 62 - Sale ²⁵
100.000		72.24	10/29/20	70.86	...	1.38	37 of 62 - Sale ²⁵
100.000		72.24	10/29/20	70.86	...	1.38	38 of 62 - Sale ²⁵
100.000		72.24	10/29/20	70.86	...	1.38	39 of 62 - Sale ²⁵
100.000		72.24	10/29/20	70.86	...	1.38	40 of 62 - Sale ²⁵
100.000		72.24	10/29/20	70.86	...	1.38	41 of 62 - Sale ²⁵
100.000		72.24	10/29/20	70.86	...	1.38	42 of 62 - Sale ²⁵
100.000		72.24	10/29/20	70.86	...	1.38	43 of 62 - Sale ²⁵
100.000		72.24	10/29/20	70.86	...	1.38	44 of 62 - Sale ²⁵
100.000		72.24	10/29/20	70.86	...	1.38	45 of 62 - Sale ²⁵
100.000		72.24	10/29/20	70.86	...	1.38	46 of 62 - Sale ²⁵
100.000		72.24	10/29/20	70.86	...	1.38	47 of 62 - Sale ²⁵
100.000		72.24	10/29/20	70.86	...	1.38	48 of 62 - Sale ²⁵

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Robinhood Securities LLC

Account 476162474

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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HEXO CORP. / CUSIP: 428304109 / Symbol: (cont'd)							
	100.000	72.24	10/29/20	70.86	...	1.38	49 of 62 - Sale ²⁵
	100.000	72.24	10/29/20	70.86	...	1.38	50 of 62 - Sale ²⁵
	100.000	72.24	10/29/20	70.86	...	1.38	51 of 62 - Sale ²⁵
	100.000	72.24	10/29/20	70.86	...	1.38	52 of 62 - Sale ²⁵
	100.000	72.24	10/29/20	70.86	...	1.38	53 of 62 - Sale ²⁵
	100.000	72.24	10/29/20	70.86	...	1.38	54 of 62 - Sale ²⁵
	100.000	72.24	10/29/20	70.86	...	1.38	55 of 62 - Sale ²⁵
	200.000	144.48	10/29/20	141.72	...	2.76	56 of 62 - Sale ²⁵
	200.000	144.48	10/29/20	141.72	...	2.76	57 of 62 - Sale ²⁵
	200.000	144.48	10/29/20	141.72	...	2.76	58 of 62 - Sale ²⁵
	300.000	216.71	10/29/20	212.58	...	4.13	59 of 62 - Sale ²⁵
	800.000	577.88	10/29/20	566.88	...	11.00	60 of 62 - Sale ²⁵
	1,400.000	1,011.30	10/29/20	992.04	...	19.26	61 of 62 - Sale ²⁵
	6,248.000	4,497.72	10/29/20	4,427.33	...	70.39	62 of 62 - Sale ²⁵
10/29/20	14,400.000	10,386.61	Various	10,203.84	...	182.77	Total of 62 transactions
	3 transactions for 10/29/20. Total proceeds and cost reported to the IRS.						
	50.000	36.12	06/09/20	55.00	18.88 W	0.00	1 of 3 - Sale ²⁵
	50.000	36.12	10/29/20	54.31	18.19 W	0.00	2 of 3 - Sale ²⁵
	50.000	36.12	10/29/20	53.62	17.50 W	0.00	3 of 3 - Sale ²⁵
10/29/20	150.000	108.36	Various	162.93	54.57 W	0.00	Total of 3 transactions
	38 transactions for 11/05/20. Total proceeds and cost reported to the IRS.						
	100.000	69.99	11/04/20	62.08	...	7.91	1 of 38 - Sale ²⁵
	200.000	139.97	11/04/20	124.16	...	15.81	2 of 38 - Sale ²⁵
	200.000	139.97	11/04/20	124.16	...	15.81	3 of 38 - Sale ²⁵
	200.000	139.97	11/04/20	124.16	...	15.81	4 of 38 - Sale ²⁵
	200.000	139.97	11/04/20	124.16	...	15.81	5 of 38 - Sale ²⁵
	200.000	139.97	11/04/20	124.16	...	15.81	6 of 38 - Sale ²⁵
	200.000	139.97	11/04/20	124.16	...	15.81	7 of 38 - Sale ²⁵
	200.000	139.97	11/04/20	124.16	...	15.81	8 of 38 - Sale ²⁵
	200.000	139.97	11/04/20	124.16	...	15.81	9 of 38 - Sale ²⁵
	200.000	139.97	11/04/20	124.16	...	15.81	10 of 38 - Sale ²⁵
	200.000	139.97	11/04/20	124.16	...	15.81	11 of 38 - Sale ²⁵
	200.000	139.97	11/04/20	124.16	...	15.81	12 of 38 - Sale ²⁵
	200.000	139.97	11/04/20	124.16	...	15.81	13 of 38 - Sale ²⁵

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Robinhood Securities LLC

Account 476162474

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

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HEXO CORP. / CUSIP: 428304109 / Symbol: (cont'd)							
	200.000	139.97	11/04/20	124.16	...	15.81	14 of 38 - Sale ²⁵
	200.000	139.97	11/04/20	124.16	...	15.81	15 of 38 - Sale ²⁵
	200.000	139.97	11/04/20	124.16	...	15.81	16 of 38 - Sale ²⁵
	200.000	139.97	11/04/20	124.16	...	15.81	17 of 38 - Sale ²⁵
	200.000	139.97	11/04/20	124.16	...	15.81	18 of 38 - Sale ²⁵
	200.000	139.97	11/04/20	124.16	...	15.81	19 of 38 - Sale ²⁵
	200.000	139.97	11/04/20	124.16	...	15.81	20 of 38 - Sale ²⁵
	200.000	139.97	11/04/20	124.16	...	15.81	21 of 38 - Sale ²⁵
	200.000	139.97	11/04/20	124.16	...	15.81	22 of 38 - Sale ²⁵
	200.000	139.97	11/04/20	124.16	...	15.81	23 of 38 - Sale ²⁵
	200.000	139.97	11/04/20	124.16	...	15.81	24 of 38 - Sale ²⁵
	200.000	139.98	11/04/20	124.16	...	15.82	25 of 38 - Sale ²⁵
	200.000	139.98	11/04/20	124.16	...	15.82	26 of 38 - Sale ²⁵
	200.000	139.98	11/04/20	124.16	...	15.82	27 of 38 - Sale ²⁵
	200.000	139.98	11/04/20	124.16	...	15.82	28 of 38 - Sale ²⁵
	200.000	139.98	11/04/20	124.16	...	15.82	29 of 38 - Sale ²⁵
	200.000	139.98	11/04/20	124.16	...	15.82	30 of 38 - Sale ²⁵
	261.000	182.66	11/04/20	162.03	...	20.63	31 of 38 - Sale ²⁵
	400.000	279.95	11/04/20	248.32	...	31.63	32 of 38 - Sale ²⁵
	497.000	347.84	11/04/20	308.54	...	39.30	33 of 38 - Sale ²⁵
	500.000	349.94	11/04/20	310.40	...	39.54	34 of 38 - Sale ²⁵
	1,397.000	977.70	11/04/20	867.25	...	110.45	35 of 38 - Sale ²⁵
	1,950.000	1,364.74	11/04/20	1,210.56	...	154.18	36 of 38 - Sale ²⁵
	2,095.000	1,466.21	11/04/20	1,300.58	...	165.63	37 of 38 - Sale ²⁵
	2,239.000	1,567.02	11/04/20	1,390.20	...	176.82	38 of 38 - Sale ²⁵
11/05/20	15,239.000	10,665.24	Various	9,460.60	...	1,204.64	Total of 38 transactions
	2 transactions for 11/05/20. Total proceeds and cost reported to the IRS.						
	50.000	34.99	11/04/20	48.54	13.55 W	0.00	1 of 2 - Sale ²⁵
	50.000	34.99	11/04/20	44.59	9.60 W	0.00	2 of 2 - Sale ²⁵
11/05/20	100.000	69.98	Various	93.13	23.15 W	0.00	Total of 2 transactions
	23 transactions for 11/27/20. Total proceeds and cost reported to the IRS.						
	2.000	1.72	11/18/20	1.60	...	0.12	1 of 23 - Sale ²⁵
	15.000	12.75	11/18/20	10.98	...	1.77	2 of 23 - Sale ²⁵
	48.000	41.27	11/18/20	38.23	...	3.04	3 of 23 - Sale ²⁵

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(continued)

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HEXO CORP. / CUSIP: 428304109 / Symbol: (cont'd)							
	30.000	25.50	11/18/20	21.96	...	3.54	4 of 23 - Sale ²⁵
	100.000	84.99	11/18/20	73.20	...	11.79	5 of 23 - Sale ²⁵
	100.000	84.99	11/18/20	73.20	...	11.79	6 of 23 - Sale ²⁵
	100.000	84.99	11/18/20	73.20	...	11.79	7 of 23 - Sale ²⁵
	100.000	84.99	11/18/20	73.20	...	11.79	8 of 23 - Sale ²⁵
	100.000	84.99	11/18/20	73.20	...	11.79	9 of 23 - Sale ²⁵
	133.000	114.37	11/18/20	97.36	...	17.01	10 of 23 - Sale ²⁵
	300.000	254.96	11/18/20	219.60	...	35.36	11 of 23 - Sale ²⁵
	280.000	240.80	11/18/20	204.96	...	35.84	12 of 23 - Sale ²⁵
	300.000	257.96	11/18/20	219.60	...	38.36	13 of 23 - Sale ²⁵
	319.000	274.30	11/18/20	233.51	...	40.79	14 of 23 - Sale ²⁵
	400.000	339.94	11/18/20	292.80	...	47.14	15 of 23 - Sale ²⁵
	498.000	428.22	11/18/20	364.54	...	63.68	16 of 23 - Sale ²⁵
	573.000	492.70	11/18/20	419.43	...	73.27	17 of 23 - Sale ²⁵
	1,819.000	1,545.90	11/18/20	1,331.50	...	214.40	18 of 23 - Sale ²⁵
	2,244.000	1,907.08	11/18/20	1,642.61	...	264.47	19 of 23 - Sale ²⁵
	2,500.000	2,124.65	11/18/20	1,830.00	...	294.65	20 of 23 - Sale ²⁵
	4,358.000	3,703.69	11/18/20	3,190.06	...	513.63	21 of 23 - Sale ²⁵
	7,792.000	6,622.12	11/18/20	5,703.74	...	918.38	22 of 23 - Sale ²⁵
	8,841.000	7,513.63	11/18/20	6,471.61	...	1,042.02	23 of 23 - Sale ²⁵
11/27/20	30,952.000	26,326.51	Various	22,660.09	...	3,666.42	Total of 23 transactions
	2 transactions for 11/27/20. Total proceeds and cost reported to the IRS.						
	2.000	1.72	11/13/20	1.86	0.14 W	0.00	1 of 2 - Sale ²⁵
	48.000	41.27	11/18/20	44.36	3.09 W	0.00	2 of 2 - Sale ²⁵
11/27/20	50.000	42.99	Various	46.22	3.23 W	0.00	Total of 2 transactions
	38 transactions for 12/01/20. Total proceeds and cost reported to the IRS.						
	100.000	114.99	12/01/20	117.00	2.01 W	0.00	1 of 38 - Sale ²⁵
	171.000	196.63	12/01/20	200.07	3.44 W	0.00	2 of 38 - Sale ²⁵
	718.000	825.59	12/01/20	840.06	14.47 W	0.00	3 of 38 - Sale ²⁵
	30.000	34.50	12/01/20	35.70	1.20 W	0.00	4 of 38 - Sale ²⁵
	25.000	28.75	12/01/20	29.75	1.00 W	0.00	5 of 38 - Sale ²⁵
	70.000	80.49	12/01/20	83.31	2.82 W	0.00	6 of 38 - Sale ²⁵
	33.000	37.94	12/01/20	39.27	1.33 W	0.00	7 of 38 - Sale ²⁵
	87.000	100.04	12/01/20	103.54	3.50 W	0.00	8 of 38 - Sale ²⁵

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(continued)

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HEXO CORP. / CUSIP: 428304109 / Symbol: (cont'd)							
	113.000	129.93	12/01/20	134.49	4.56 W	0.00	9 of 38 - Sale ²⁵
	1.000	1.15	12/01/20	1.19	0.04 W	0.00	10 of 38 - Sale ²⁵
	323.000	371.40	12/01/20	384.42	13.02 W	0.00	11 of 38 - Sale ²⁵
	100.000	114.99	12/01/20	119.02	4.03 W	0.00	12 of 38 - Sale ²⁵
	100.000	114.99	12/01/20	119.01	4.02 W	0.00	13 of 38 - Sale ²⁵
	1.000	1.15	12/01/20	1.21	0.06 W	0.00	14 of 38 - Sale ²⁵
	25.000	28.75	12/01/20	30.25	1.50 W	0.00	15 of 38 - Sale ²⁵
	30.000	34.50	12/01/20	36.30	1.80 W	0.00	16 of 38 - Sale ²⁵
	33.000	37.95	12/01/20	39.94	1.99 W	0.00	17 of 38 - Sale ²⁵
	70.000	80.49	12/01/20	84.72	4.23 W	0.00	18 of 38 - Sale ²⁵
	87.000	100.04	12/01/20	105.29	5.25 W	0.00	19 of 38 - Sale ²⁵
	113.000	129.93	12/01/20	136.77	6.84 W	0.00	20 of 38 - Sale ²⁵
	107.000	123.03	12/01/20	127.35	4.32 W	0.00	21 of 38 - Sale ²⁵
	11.000	12.65	12/01/20	12.87	0.22 W	0.00	22 of 38 - Sale ²⁵
	300.000	344.95	12/01/20	363.09	18.14 W	0.00	23 of 38 - Sale ²⁵
	9.000	10.35	12/01/20	10.89	0.54 W	0.00	24 of 38 - Sale ²⁵
	14.000	16.10	12/01/20	16.95	0.85 W	0.00	25 of 38 - Sale ²⁵
	100.000	114.99	12/01/20	121.03	6.04 W	0.00	26 of 38 - Sale ²⁵
	100.000	114.98	12/01/20	121.02	6.04 W	0.00	27 of 38 - Sale ²⁵
	1,340.000	1,540.80	12/01/20	1,567.80	27.00 W	0.00	28 of 38 - Sale ²⁵
	660.000	758.90	12/01/20	772.20	13.30 W	0.00	29 of 38 - Sale ²⁵
	100.000	114.99	12/01/20	117.00	2.01 W	0.00	30 of 38 - Sale ²⁵
	100.000	114.99	12/01/20	117.00	2.01 W	0.00	31 of 38 - Sale ²⁵
	200.000	225.98	12/01/20	234.00	8.02 W	0.00	32 of 38 - Sale ²⁵
	400.000	451.95	12/01/20	468.00	16.05 W	0.00	33 of 38 - Sale ²⁵
	500.000	564.92	12/01/20	585.00	20.08 W	0.00	34 of 38 - Sale ²⁵
	1,000.000	1,129.85	12/01/20	1,170.00	40.15 W	0.00	35 of 38 - Sale ²⁵
	100.000	112.99	12/01/20	117.00	4.01 W	0.00	36 of 38 - Sale ²⁵
	2,178.000	2,460.82	12/01/20	2,548.26	87.44 W	0.00	37 of 38 - Sale ²⁵
	15,551.000	17,570.39	12/01/20	18,194.67	624.28 W	0.00	38 of 38 - Sale ²⁵
12/01/20	25,000.000	28,347.83	Various	29,305.44	957.61 W	0.00	Total of 38 transactions
	153 transactions for 12/04/20. Total proceeds and cost reported to the IRS.						
	1.000	1.14	12/04/20	1.14	...	0.00	1 of 153 - Sale ²⁵
	9.000	10.26	12/04/20	10.26	...	0.00	2 of 153 - Sale ²⁵

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Robinhood Securities LLC

Account 476162474

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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HEXO CORP. / CUSIP: 428304109 / Symbol: (cont'd)							
	25.000	28.50	12/04/20	28.50	...	0.00	3 of 153 - Sale ²⁵
	30.000	34.20	12/04/20	34.20	...	0.00	4 of 153 - Sale ²⁵
	2.000	2.28	12/04/20	2.24	...	0.04	5 of 153 - Sale ²⁵
	3.000	3.42	12/04/20	3.36	...	0.06	6 of 153 - Sale ²⁵
	5.000	5.70	12/04/20	5.60	...	0.10	7 of 153 - Sale ²⁵
	6.000	6.84	12/04/20	6.72	...	0.12	8 of 153 - Sale ²⁵
	7.000	7.98	12/04/20	7.84	...	0.14	9 of 153 - Sale ²⁵
	7.000	7.98	12/04/20	7.84	...	0.14	10 of 153 - Sale ²⁵
	7.000	7.98	12/04/20	7.84	...	0.14	11 of 153 - Sale ²⁵
	7.000	7.98	12/04/20	7.84	...	0.14	12 of 153 - Sale ²⁵
	7.000	7.98	12/04/20	7.84	...	0.14	13 of 153 - Sale ²⁵
	7.000	7.98	12/04/20	7.84	...	0.14	14 of 153 - Sale ²⁵
	20.000	22.80	12/04/20	22.40	...	0.40	15 of 153 - Sale ²⁵
	11.000	12.54	12/04/20	12.10	...	0.44	16 of 153 - Sale ²⁵
	25.000	28.50	12/04/20	28.00	...	0.50	17 of 153 - Sale ²⁵
	33.000	37.62	12/04/20	36.96	...	0.66	18 of 153 - Sale ²⁵
	34.000	38.75	12/04/20	38.09	...	0.66	19 of 153 - Sale ²⁵
	34.000	38.76	12/04/20	38.08	...	0.68	20 of 153 - Sale ²⁵
	14.000	15.96	12/04/20	15.13	...	0.83	21 of 153 - Sale ²⁵
	50.000	56.99	12/04/20	56.01	...	0.98	22 of 153 - Sale ²⁵
	50.000	57.00	12/04/20	56.01	...	0.99	23 of 153 - Sale ²⁵
	50.000	57.00	12/04/20	56.01	...	0.99	24 of 153 - Sale ²⁵
	50.000	57.00	12/04/20	56.01	...	0.99	25 of 153 - Sale ²⁵
	50.000	57.00	12/04/20	56.01	...	0.99	26 of 153 - Sale ²⁵
	60.000	68.39	12/04/20	67.21	...	1.18	27 of 153 - Sale ²⁵
	63.000	71.81	12/04/20	70.57	...	1.24	28 of 153 - Sale ²⁵
	66.000	75.23	12/04/20	73.93	...	1.30	29 of 153 - Sale ²⁵
	66.000	75.23	12/04/20	73.93	...	1.30	30 of 153 - Sale ²⁵
	93.000	106.01	12/04/20	104.17	...	1.84	31 of 153 - Sale ²⁵
	93.000	106.01	12/04/20	104.17	...	1.84	32 of 153 - Sale ²⁵
	93.000	106.01	12/04/20	104.17	...	1.84	33 of 153 - Sale ²⁵
	93.000	106.01	12/04/20	104.17	...	1.84	34 of 153 - Sale ²⁵
	93.000	106.01	12/04/20	104.17	...	1.84	35 of 153 - Sale ²⁵
	100.000	113.98	12/04/20	112.02	...	1.96	36 of 153 - Sale ²⁵

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Robinhood Securities LLC

Account 476162474

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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HEXO CORP. / CUSIP: 428304109 / Symbol: (cont'd)							
100.000		113.98	12/04/20	112.02	...	1.96	37 of 153 - Sale ²⁵
100.000		113.98	12/04/20	112.02	...	1.96	38 of 153 - Sale ²⁵
100.000		113.98	12/04/20	112.02	...	1.96	39 of 153 - Sale ²⁵
100.000		113.98	12/04/20	112.02	...	1.96	40 of 153 - Sale ²⁵
100.000		113.98	12/04/20	112.02	...	1.96	41 of 153 - Sale ²⁵
100.000		113.98	12/04/20	112.02	...	1.96	42 of 153 - Sale ²⁵
100.000		113.98	12/04/20	112.01	...	1.97	43 of 153 - Sale ²⁵
100.000		113.99	12/04/20	112.02	...	1.97	44 of 153 - Sale ²⁵
100.000		113.98	12/04/20	112.01	...	1.97	45 of 153 - Sale ²⁵
100.000		113.99	12/04/20	112.02	...	1.97	46 of 153 - Sale ²⁵
100.000		113.98	12/04/20	112.01	...	1.97	47 of 153 - Sale ²⁵
100.000		113.99	12/04/20	112.02	...	1.97	48 of 153 - Sale ²⁵
100.000		113.98	12/04/20	112.01	...	1.97	49 of 153 - Sale ²⁵
100.000		113.99	12/04/20	112.02	...	1.97	50 of 153 - Sale ²⁵
100.000		113.98	12/04/20	112.01	...	1.97	51 of 153 - Sale ²⁵
100.000		113.99	12/04/20	112.02	...	1.97	52 of 153 - Sale ²⁵
100.000		113.98	12/04/20	112.01	...	1.97	53 of 153 - Sale ²⁵
100.000		113.98	12/04/20	112.01	...	1.97	54 of 153 - Sale ²⁵
100.000		113.98	12/04/20	112.01	...	1.97	55 of 153 - Sale ²⁵
100.000		113.99	12/04/20	112.02	...	1.97	56 of 153 - Sale ²⁵
100.000		113.99	12/04/20	112.02	...	1.97	57 of 153 - Sale ²⁵
100.000		113.99	12/04/20	112.02	...	1.97	58 of 153 - Sale ²⁵
100.000		113.99	12/04/20	112.02	...	1.97	59 of 153 - Sale ²⁵
100.000		113.98	12/04/20	112.01	...	1.97	60 of 153 - Sale ²⁵
100.000		113.99	12/04/20	112.02	...	1.97	61 of 153 - Sale ²⁵
100.000		113.98	12/04/20	112.01	...	1.97	62 of 153 - Sale ²⁵
100.000		113.99	12/04/20	112.02	...	1.97	63 of 153 - Sale ²⁵
100.000		113.98	12/04/20	112.01	...	1.97	64 of 153 - Sale ²⁵
100.000		113.98	12/04/20	112.01	...	1.97	65 of 153 - Sale ²⁵
100.000		113.99	12/04/20	112.02	...	1.97	66 of 153 - Sale ²⁵
100.000		113.98	12/04/20	112.01	...	1.97	67 of 153 - Sale ²⁵
100.000		113.99	12/04/20	112.02	...	1.97	68 of 153 - Sale ²⁵
100.000		113.98	12/04/20	112.01	...	1.97	69 of 153 - Sale ²⁵
100.000		113.99	12/04/20	112.02	...	1.97	70 of 153 - Sale ²⁵

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Account 476162474

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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HEXO CORP. / CUSIP: 428304109 / Symbol: (cont'd)							
	100.000	113.98	12/04/20	112.01	...	1.97	71 of 153 - Sale ²⁵
	100.000	113.99	12/04/20	112.02	...	1.97	72 of 153 - Sale ²⁵
	100.000	113.98	12/04/20	112.01	...	1.97	73 of 153 - Sale ²⁵
	100.000	113.99	12/04/20	112.02	...	1.97	74 of 153 - Sale ²⁵
	100.000	113.98	12/04/20	112.01	...	1.97	75 of 153 - Sale ²⁵
	33.000	37.62	12/04/20	35.65	...	1.97	76 of 153 - Sale ²⁵
	100.000	113.99	12/04/20	112.01	...	1.98	77 of 153 - Sale ²⁵
	100.000	113.99	12/04/20	112.01	...	1.98	78 of 153 - Sale ²⁵
	100.000	113.99	12/04/20	112.01	...	1.98	79 of 153 - Sale ²⁵
	100.000	113.99	12/04/20	112.01	...	1.98	80 of 153 - Sale ²⁵
	100.000	113.99	12/04/20	112.01	...	1.98	81 of 153 - Sale ²⁵
	100.000	113.99	12/04/20	112.01	...	1.98	82 of 153 - Sale ²⁵
	100.000	113.99	12/04/20	112.01	...	1.98	83 of 153 - Sale ²⁵
	100.000	113.99	12/04/20	112.01	...	1.98	84 of 153 - Sale ²⁵
	100.000	113.99	12/04/20	112.01	...	1.98	85 of 153 - Sale ²⁵
	100.000	113.99	12/04/20	112.01	...	1.98	86 of 153 - Sale ²⁵
	100.000	113.99	12/04/20	112.01	...	1.98	87 of 153 - Sale ²⁵
	100.000	113.99	12/04/20	112.01	...	1.98	88 of 153 - Sale ²⁵
	100.000	113.99	12/04/20	112.01	...	1.98	89 of 153 - Sale ²⁵
	100.000	113.99	12/04/20	112.01	...	1.98	90 of 153 - Sale ²⁵
	100.000	113.99	12/04/20	112.01	...	1.98	91 of 153 - Sale ²⁵
	100.000	113.99	12/04/20	112.01	...	1.98	92 of 153 - Sale ²⁵
	100.000	113.99	12/04/20	112.01	...	1.98	93 of 153 - Sale ²⁵
	107.000	121.96	12/04/20	119.88	...	2.08	94 of 153 - Sale ²⁵
	39.000	44.45	12/04/20	42.14	...	2.31	95 of 153 - Sale ²⁵
	167.000	190.36	12/04/20	187.06	...	3.30	96 of 153 - Sale ²⁵
	61.000	69.53	12/04/20	65.92	...	3.61	97 of 153 - Sale ²⁵
	200.000	227.97	12/04/20	224.03	...	3.94	98 of 153 - Sale ²⁵
	200.000	227.97	12/04/20	224.03	...	3.94	99 of 153 - Sale ²⁵
	200.000	227.97	12/04/20	224.03	...	3.94	100 of 153 - Sale ²⁵
	200.000	227.97	12/04/20	224.03	...	3.94	101 of 153 - Sale ²⁵
	200.000	227.97	12/04/20	224.03	...	3.94	102 of 153 - Sale ²⁵
	200.000	227.97	12/04/20	224.03	...	3.94	103 of 153 - Sale ²⁵
	200.000	227.97	12/04/20	224.03	...	3.94	104 of 153 - Sale ²⁵

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(continued)

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HEXO CORP. / CUSIP: 428304109 / Symbol: (cont'd)							
	200.000	227.97	12/04/20	224.03	...	3.94	105 of 153 - Sale ²⁵
	200.000	227.97	12/04/20	224.03	...	3.94	106 of 153 - Sale ²⁵
	200.000	227.97	12/04/20	224.03	...	3.94	107 of 153 - Sale ²⁵
	200.000	227.97	12/04/20	224.03	...	3.94	108 of 153 - Sale ²⁵
	200.000	227.97	12/04/20	224.03	...	3.94	109 of 153 - Sale ²⁵
	200.000	227.98	12/04/20	224.03	...	3.95	110 of 153 - Sale ²⁵
	100.000	113.99	12/04/20	110.01	...	3.98	111 of 153 - Sale ²⁵
	100.000	113.99	12/04/20	110.01	...	3.98	112 of 153 - Sale ²⁵
	70.000	79.79	12/04/20	75.64	...	4.15	113 of 153 - Sale ²⁵
	127.000	144.76	12/04/20	139.72	...	5.04	114 of 153 - Sale ²⁵
	87.000	99.17	12/04/20	94.00	...	5.17	115 of 153 - Sale ²⁵
	271.000	308.90	12/04/20	303.56	...	5.34	116 of 153 - Sale ²⁵
	300.000	341.95	12/04/20	336.04	...	5.91	117 of 153 - Sale ²⁵
	300.000	341.96	12/04/20	336.05	...	5.91	118 of 153 - Sale ²⁵
	300.000	341.96	12/04/20	336.04	...	5.92	119 of 153 - Sale ²⁵
	300.000	341.96	12/04/20	336.04	...	5.92	120 of 153 - Sale ²⁵
	100.000	113.98	12/04/20	108.06	...	5.92	121 of 153 - Sale ²⁵
	100.000	113.98	12/04/20	108.00	...	5.98	122 of 153 - Sale ²⁵
	100.000	113.98	12/04/20	108.00	...	5.98	123 of 153 - Sale ²⁵
	100.000	113.99	12/04/20	108.00	...	5.99	124 of 153 - Sale ²⁵
	113.000	128.80	12/04/20	122.12	...	6.68	125 of 153 - Sale ²⁵
	118.000	134.50	12/04/20	127.44	...	7.06	126 of 153 - Sale ²⁵
	400.000	455.94	12/04/20	448.06	...	7.88	127 of 153 - Sale ²⁵
	136.000	155.02	12/04/20	146.88	...	8.14	128 of 153 - Sale ²⁵
	500.000	569.92	12/04/20	560.07	...	9.85	129 of 153 - Sale ²⁵
	500.000	569.92	12/04/20	560.07	...	9.85	130 of 153 - Sale ²⁵
	500.000	569.92	12/04/20	560.07	...	9.85	131 of 153 - Sale ²⁵
	500.000	569.93	12/04/20	560.08	...	9.85	132 of 153 - Sale ²⁵
	522.000	595.00	12/04/20	584.72	...	10.28	133 of 153 - Sale ²⁵
	600.000	683.91	12/04/20	672.09	...	11.82	134 of 153 - Sale ²⁵
	600.000	683.91	12/04/20	672.09	...	11.82	135 of 153 - Sale ²⁵
	600.000	683.91	12/04/20	672.09	...	11.82	136 of 153 - Sale ²⁵
	600.000	683.91	12/04/20	672.09	...	11.82	137 of 153 - Sale ²⁵
	607.000	691.89	12/04/20	679.93	...	11.96	138 of 153 - Sale ²⁵

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(continued)

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HEXO CORP. / CUSIP: 428304109 / Symbol: (cont'd)							
	200.000	227.97	12/04/20	216.00	...	11.97	139 of 153 - Sale ²⁵
	200.000	227.97	12/04/20	216.00	...	11.97	140 of 153 - Sale ²⁵
	200.000	227.97	12/04/20	216.00	...	11.97	141 of 153 - Sale ²⁵
	367.000	418.33	12/04/20	403.76	...	14.57	142 of 153 - Sale ²⁵
	888.000	1,012.18	12/04/20	994.69	...	17.49	143 of 153 - Sale ²⁵
	300.000	341.96	12/04/20	324.19	...	17.77	144 of 153 - Sale ²⁵
	300.000	341.95	12/04/20	324.00	...	17.95	145 of 153 - Sale ²⁵
	300.000	341.96	12/04/20	324.00	...	17.96	146 of 153 - Sale ²⁵
	300.000	341.96	12/04/20	324.00	...	17.96	147 of 153 - Sale ²⁵
	300.000	341.96	12/04/20	324.00	...	17.96	148 of 153 - Sale ²⁵
	473.000	539.15	12/04/20	520.37	...	18.78	149 of 153 - Sale ²⁵
	1,000.000	1,139.85	12/04/20	1,120.15	...	19.70	150 of 153 - Sale ²⁵
	1,000.000	1,139.85	12/04/20	1,120.14	...	19.71	151 of 153 - Sale ²⁵
	500.000	569.93	12/04/20	550.07	...	19.86	152 of 153 - Sale ²⁵
	533.000	607.54	12/04/20	586.38	...	21.16	153 of 153 - Sale ²⁵
12/04/20	25,483.000	29,046.95	Various	28,374.92	...	672.03	Total of 153 transactions
	8 transactions for 12/04/20. Total proceeds and cost reported to the IRS.						
	14.000	15.96	12/04/20	15.97	0.01 W	0.00	1 of 8 - Sale ²⁵
	33.000	37.62	12/04/20	37.63	0.01 W	0.00	2 of 8 - Sale ²⁵
	70.000	79.79	12/04/20	79.83	0.04 W	0.00	3 of 8 - Sale ²⁵
	87.000	99.17	12/04/20	99.21	0.04 W	0.00	4 of 8 - Sale ²⁵
	100.000	113.98	12/04/20	114.04	0.06 W	0.00	5 of 8 - Sale ²⁵
	100.000	113.98	12/04/20	114.04	0.06 W	0.00	6 of 8 - Sale ²⁵
	113.000	128.80	12/04/20	128.88	0.08 W	0.00	7 of 8 - Sale ²⁵
	300.000	341.95	12/04/20	342.14	0.19 W	0.00	8 of 8 - Sale ²⁵
12/04/20	817.000	931.25	Various	931.74	0.49 W	0.00	Total of 8 transactions
	Security total:	105,925.72		101,238.91	1,039.05 W	5,725.86	
MICROSOFT CORPORATION COMMON S TOCK / CUSIP: 594918104 / Symbol:							
10/12/20	7.000	1,559.56	09/08/20	1,442.00	...	117.56	Sale ²⁵

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Robinhood Securities LLC

Account 476162474

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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MODERNA, INC. COMMON STOCK / CUSIP: 60770K107 / Symbol:							
06/09/20	46.000	2,667.94	06/05/20	2,668.00	...	-0.06	Sale ²⁵
		2 transactions for 10/29/20. Total proceeds and cost reported to the IRS.					
	28.000	1,979.35	10/28/20	1,862.00	...	117.35	1 of 2 - Sale ²⁵
	46.000	3,251.79	10/28/20	3,059.00	...	192.79	2 of 2 - Sale ²⁵
10/29/20	74.000	5,231.14	Various	4,921.00	...	310.14	Total of 2 transactions
	Security total:	7,899.08		7,589.00	...	310.08	
ORGANIGRAM HOLDINGS INC. COMMO N SHARES / CUSIP: 68620P101 / Symbol:							
		61 transactions for 12/07/20. Total proceeds and cost reported to the IRS.					
	1.000	1.51	12/04/20	1.46	...	0.05	1 of 61 - Sale ²⁵
	1.000	1.51	12/04/20	1.46	...	0.05	2 of 61 - Sale ²⁵
	1.000	1.51	12/04/20	1.46	...	0.05	3 of 61 - Sale ²⁵
	1.000	1.51	12/04/20	1.46	...	0.05	4 of 61 - Sale ²⁵
	1.000	1.51	12/04/20	1.46	...	0.05	5 of 61 - Sale ²⁵
	1.000	1.51	12/04/20	1.46	...	0.05	6 of 61 - Sale ²⁵
	2.000	3.02	12/04/20	2.92	...	0.10	7 of 61 - Sale ²⁵
	2.000	3.02	12/04/20	2.92	...	0.10	8 of 61 - Sale ²⁵
	2.000	3.02	12/04/20	2.92	...	0.10	9 of 61 - Sale ²⁵
	3.000	4.53	12/04/20	4.38	...	0.15	10 of 61 - Sale ²⁵
	3.000	4.53	12/04/20	4.38	...	0.15	11 of 61 - Sale ²⁵
	3.000	4.53	12/04/20	4.38	...	0.15	12 of 61 - Sale ²⁵
	5.000	7.55	12/04/20	7.30	...	0.25	13 of 61 - Sale ²⁵
	5.000	7.55	12/04/20	7.30	...	0.25	14 of 61 - Sale ²⁵
	6.000	9.06	12/04/20	8.76	...	0.30	15 of 61 - Sale ²⁵
	6.000	9.06	12/04/20	8.76	...	0.30	16 of 61 - Sale ²⁵
	6.000	9.06	12/04/20	8.76	...	0.30	17 of 61 - Sale ²⁵
	7.000	10.57	12/04/20	10.22	...	0.35	18 of 61 - Sale ²⁵
	7.000	10.57	12/04/20	10.22	...	0.35	19 of 61 - Sale ²⁵
	8.000	12.08	12/04/20	11.68	...	0.40	20 of 61 - Sale ²⁵
	10.000	15.10	12/04/20	14.60	...	0.50	21 of 61 - Sale ²⁵
	10.000	15.10	12/04/20	14.60	...	0.50	22 of 61 - Sale ²⁵
	14.000	21.14	12/04/20	20.44	...	0.70	23 of 61 - Sale ²⁵
	16.000	24.16	12/04/20	23.36	...	0.80	24 of 61 - Sale ²⁵
	16.000	24.16	12/04/20	23.36	...	0.80	25 of 61 - Sale ²⁵

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Robinhood Securities LLC

Account 476162474

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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ORGANIGRAM HOLDINGS INC. COMMO N SHARES / CUSIP: 68620P101 / Symbol: (cont'd)							
17.000		25.67	12/04/20	24.82	...	0.85	26 of 61 - Sale ²⁵
17.000		25.67	12/04/20	24.82	...	0.85	27 of 61 - Sale ²⁵
20.000		30.20	12/04/20	29.20	...	1.00	28 of 61 - Sale ²⁵
20.000		30.20	12/04/20	29.20	...	1.00	29 of 61 - Sale ²⁵
27.000		40.77	12/04/20	39.42	...	1.35	30 of 61 - Sale ²⁵
30.000		45.30	12/04/20	43.80	...	1.50	31 of 61 - Sale ²⁵
30.000		45.30	12/04/20	43.80	...	1.50	32 of 61 - Sale ²⁵
31.000		46.81	12/04/20	45.26	...	1.55	33 of 61 - Sale ²⁵
33.000		49.83	12/04/20	48.18	...	1.65	34 of 61 - Sale ²⁵
33.000		49.83	12/04/20	48.18	...	1.65	35 of 61 - Sale ²⁵
34.000		51.33	12/04/20	49.64	...	1.69	36 of 61 - Sale ²⁵
34.000		51.34	12/04/20	49.64	...	1.70	37 of 61 - Sale ²⁵
35.000		52.84	12/04/20	51.10	...	1.74	38 of 61 - Sale ²⁵
40.000		60.40	12/04/20	58.40	...	2.00	39 of 61 - Sale ²⁵
50.000		75.50	12/04/20	73.00	...	2.50	40 of 61 - Sale ²⁵
50.000		75.50	12/04/20	73.00	...	2.50	41 of 61 - Sale ²⁵
54.000		81.53	12/04/20	78.84	...	2.69	42 of 61 - Sale ²⁵
66.000		99.65	12/04/20	96.36	...	3.29	43 of 61 - Sale ²⁵
66.000		99.65	12/04/20	96.36	...	3.29	44 of 61 - Sale ²⁵
80.000		120.79	12/04/20	116.80	...	3.99	45 of 61 - Sale ²⁵
100.000		150.98	12/04/20	146.00	...	4.98	46 of 61 - Sale ²⁵
100.000		150.99	12/04/20	146.00	...	4.99	47 of 61 - Sale ²⁵
200.000		301.97	12/04/20	292.00	...	9.97	48 of 61 - Sale ²⁵
223.000		336.70	12/04/20	325.58	...	11.12	49 of 61 - Sale ²⁵
250.000		377.46	12/04/20	365.00	...	12.46	50 of 61 - Sale ²⁵
500.000		754.92	12/04/20	730.00	...	24.92	51 of 61 - Sale ²⁵
549.000		828.91	12/04/20	801.54	...	27.37	52 of 61 - Sale ²⁵
555.000		837.96	12/04/20	810.30	...	27.66	53 of 61 - Sale ²⁵
881.000		1,330.17	12/04/20	1,286.26	...	43.91	54 of 61 - Sale ²⁵
1,000.000		1,509.84	12/04/20	1,460.00	...	49.84	55 of 61 - Sale ²⁵
1,000.000		1,509.84	12/04/20	1,460.00	...	49.84	56 of 61 - Sale ²⁵
1,261.000		1,903.91	12/04/20	1,841.06	...	62.85	57 of 61 - Sale ²⁵
1,500.000		2,264.76	12/04/20	2,190.00	...	74.76	58 of 61 - Sale ²⁵
3,000.000		4,529.53	12/04/20	4,380.00	...	149.53	59 of 61 - Sale ²⁵

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Account 476162474

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

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ORGANIGRAM HOLDINGS INC. COMMO N SHARES / CUSIP: 68620P101 / Symbol: (cont'd)							
	3,000.000	4,529.54	12/04/20	4,380.00	...	149.54	60 of 61 - Sale ²⁵
	5,777.000	8,722.38	12/04/20	8,434.42	...	287.96	61 of 61 - Sale ²⁵
12/07/20	20,800.000	31,404.84	Various	30,368.00	...	1,036.84	Total of 61 transactions
PAYPAL HOLDINGS, INC. COMMON S TOCK / CUSIP: 70450Y103 / Symbol:							
4 transactions for 10/08/20. Total proceeds and cost reported to the IRS.							
	0.007	1.32	09/08/20	1.29	...	0.03	1 of 4 - Sale ²⁵
	0.008	1.49	09/08/20	1.45	...	0.04	2 of 4 - Sale ²⁵
	0.040	7.75	09/08/20	7.53	...	0.22	3 of 4 - Sale ²⁵
	10.992	2,128.61	09/08/20	2,070.73	...	57.88	4 of 4 - Sale ²⁵
10/08/20	11.047	2,139.17	Various	2,081.00	...	58.17	Total of 4 transactions
PIEDMONT LITHIUM LIMITED AMERI CAN DEPOSITARY RECEIPTS / CUSIP: 720162106 / Symbol:							
2 transactions for 10/06/20. Total proceeds and cost reported to the IRS.							
	20.000	967.97	10/06/20	942.80	...	25.17	1 of 2 - Sale ²⁵
	100.000	4,839.88	10/06/20	4,712.00	...	127.88	2 of 2 - Sale ²⁵
10/06/20	120.000	5,807.85	Various	5,654.80	...	153.05	Total of 2 transactions
REMARK HOLDINGS, INC. COMMON S TOCK / CUSIP: 75955K102 / Symbol:							
4 transactions for 10/26/20. Total proceeds and cost reported to the IRS.							
	90.000	130.49	10/22/20	101.70	...	28.79	1 of 4 - Sale ²⁵
	843.000	1,222.22	10/22/20	952.59	...	269.63	2 of 4 - Sale ²⁵
	2,610.000	3,784.10	10/22/20	2,949.30	...	834.80	3 of 4 - Sale ²⁵
	9,957.000	14,436.14	10/22/20	11,251.41	...	3,184.73	4 of 4 - Sale ²⁵
10/26/20	13,500.000	19,572.95	Various	15,255.00	...	4,317.95	Total of 4 transactions
RIGEL PHARMACEUTICALS, INC. CO MMON STOCK / CUSIP: 766559603 / Symbol:							
5 transactions for 07/14/20. Total proceeds and cost reported to the IRS.							
	100.000	441.48	07/14/20	404.00	...	37.48	1 of 5 - Sale ²⁵
	100.000	441.48	07/14/20	404.00	...	37.48	2 of 5 - Sale ²⁵
	170.000	750.51	07/14/20	686.80	...	63.71	3 of 5 - Sale ²⁵
	300.000	1,324.43	07/14/20	1,212.00	...	112.43	4 of 5 - Sale ²⁵
	330.000	1,456.88	07/14/20	1,333.20	...	123.68	5 of 5 - Sale ²⁵
07/14/20	1,000.000	4,414.78	Various	4,040.00	...	374.78	Total of 5 transactions

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RIGEL PHARMACEUTICALS, INC. CO MMON STOCK / CUSIP: 766559603 / Symbol: (cont'd)							
29 transactions for 07/15/20. Total proceeds and cost reported to the IRS.							
	300.000	947.94	07/14/20	1,246.50	298.56 W	0.00	1 of 29 - Sale ²⁵
	100.000	315.98	07/14/20	415.50	99.52 W	0.00	2 of 29 - Sale ²⁵
	200.000	631.96	07/14/20	831.00	199.04 W	0.00	3 of 29 - Sale ²⁵
	200.000	631.96	07/14/20	831.00	199.04 W	0.00	4 of 29 - Sale ²⁵
	200.000	631.97	07/14/20	831.00	199.03 W	0.00	5 of 29 - Sale ²⁵
	100.000	315.98	07/14/20	515.02	199.04 W	0.00	6 of 29 - Sale ²⁵
	100.000	315.98	07/14/20	515.02	199.04 W	0.00	7 of 29 - Sale ²⁵
	100.000	315.98	07/14/20	515.50	199.52 W	0.00	8 of 29 - Sale ²⁵
	100.000	315.98	07/14/20	515.52	199.54 W	0.00	9 of 29 - Sale ²⁵
	200.000	631.96	07/14/20	1,030.54	398.58 W	0.00	10 of 29 - Sale ²⁵
	100.000	315.98	07/14/20	515.02	199.04 W	0.00	11 of 29 - Sale ²⁵
	100.000	315.98	07/14/20	515.02	199.04 W	0.00	12 of 29 - Sale ²⁵
	100.000	315.98	07/14/20	515.02	199.04 W	0.00	13 of 29 - Sale ²⁵
	100.000	315.98	07/14/20	515.51	199.53 W	0.00	14 of 29 - Sale ²⁵
	62.000	195.91	07/14/20	257.92	62.01 W	0.00	15 of 29 - Sale ²⁵
	684.000	2,161.31	07/14/20	2,845.44	684.13 W	0.00	16 of 29 - Sale ²⁵
	136.000	429.74	07/14/20	565.42	135.68 W	0.00	17 of 29 - Sale ²⁵
	64.000	202.23	07/14/20	393.47	191.24 W	0.00	18 of 29 - Sale ²⁵
	36.000	113.75	07/14/20	221.41	107.66 W	0.00	19 of 29 - Sale ²⁵
	64.000	202.23	07/14/20	393.63	191.40 W	0.00	20 of 29 - Sale ²⁵
	36.000	113.75	07/14/20	221.41	107.66 W	0.00	21 of 29 - Sale ²⁵
	64.000	202.23	07/14/20	393.93	191.70 W	0.00	22 of 29 - Sale ²⁵
	36.000	113.75	07/14/20	221.59	107.84 W	0.00	23 of 29 - Sale ²⁵
	64.000	202.23	07/14/20	393.79	191.56 W	0.00	24 of 29 - Sale ²⁵
	100.000	315.98	07/14/20	615.54	299.56 W	0.00	25 of 29 - Sale ²⁵
	100.000	315.97	07/14/20	615.29	299.32 W	0.00	26 of 29 - Sale ²⁵
	20.000	63.20	07/14/20	123.06	59.86 W	0.00	27 of 29 - Sale ²⁵
	2.000	6.32	07/14/20	12.30	5.98 W	0.00	28 of 29 - Sale ²⁵
	16.000	50.56	07/14/20	98.44	47.88 W	0.00	29 of 29 - Sale ²⁵
07/15/20	3,484.000	11,008.77	Various	16,679.81	5,671.04 W	0.00	Total of 29 transactions
13 transactions for 09/08/20. Total proceeds and cost reported to the IRS.							
	100.000	231.24	07/15/20	618.53	...	-387.29	1 of 13 - Sale ²⁵
	99.000	228.93	07/15/20	612.11	...	-383.18	2 of 13 - Sale ²⁵

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RIGEL PHARMACEUTICALS, INC. CO MMON STOCK / CUSIP: 766559603 / Symbol: (cont'd)							
	100.000	231.24	07/15/20	518.04	...	-286.80	3 of 13 - Sale ²⁵
	100.000	231.24	07/15/20	518.04	...	-286.80	4 of 13 - Sale ²⁵
	98.000	226.62	07/15/20	507.68	...	-281.06	5 of 13 - Sale ²⁵
	64.000	147.99	07/15/20	395.84	...	-247.85	6 of 13 - Sale ²⁵
	64.000	147.99	07/15/20	395.70	...	-247.71	7 of 13 - Sale ²⁵
	64.000	148.00	07/15/20	395.54	...	-247.54	8 of 13 - Sale ²⁵
	64.000	148.00	07/15/20	395.38	...	-247.38	9 of 13 - Sale ²⁵
	36.000	83.25	07/15/20	222.67	...	-139.42	10 of 13 - Sale ²⁵
	36.000	83.25	07/15/20	222.49	...	-139.24	11 of 13 - Sale ²⁵
	36.000	83.25	07/15/20	222.49	...	-139.24	12 of 13 - Sale ²⁵
	2.000	4.62	07/15/20	10.37	...	-5.75	13 of 13 - Sale ²⁵
09/08/20	863.000	1,995.62	Various	5,034.88	...	-3,039.26	Total of 13 transactions
	10 transactions for 10/06/20. Total proceeds and cost reported to the IRS.						
	2.000	5.04	07/15/20	12.36	7.32 W	0.00	1 of 10 - Sale ²⁵
	16.000	40.32	07/15/20	98.92	58.60 W	0.00	2 of 10 - Sale ²⁵
	20.000	50.40	07/15/20	123.65	73.25 W	0.00	3 of 10 - Sale ²⁵
	1.000	2.52	07/15/20	6.18	3.66 W	0.00	4 of 10 - Sale ²⁵
	58.000	146.15	07/15/20	300.73	154.58 W	0.00	5 of 10 - Sale ²⁵
	40.000	100.79	07/15/20	207.40	106.61 W	0.00	6 of 10 - Sale ²⁵
	62.000	156.23	07/15/20	259.77	103.54 W	0.00	7 of 10 - Sale ²⁵
	136.000	342.70	07/15/20	569.48	226.78 W	0.00	8 of 10 - Sale ²⁵
	684.000	1,723.56	07/15/20	2,865.88	1,142.32 W	0.00	9 of 10 - Sale ²⁵
	1,602.000	4,036.75	07/15/20	5,109.90	1,073.15 W	0.00	10 of 10 - Sale ²⁵
10/06/20	2,621.000	6,604.46	Various	9,554.27	2,949.81 W	0.00	Total of 10 transactions
	18 transactions for 10/20/20. Total proceeds and cost reported to the IRS.						
	996.000	2,519.70	10/19/20	3,344.75	...	-825.05	1 of 18 - Sale ²⁵
	313.000	791.83	10/19/20	1,364.17	...	-572.34	2 of 18 - Sale ²⁵
	2,927.000	7,404.79	10/19/20	7,868.65	...	-463.86	3 of 18 - Sale ²⁵
	432.000	1,092.89	10/19/20	1,450.74	...	-357.85	4 of 18 - Sale ²⁵
	189.000	478.15	10/19/20	823.73	...	-345.58	5 of 18 - Sale ²⁵
	136.000	344.06	10/19/20	592.39	...	-248.33	6 of 18 - Sale ²⁵
	96.000	242.87	10/19/20	418.40	...	-175.53	7 of 18 - Sale ²⁵
	58.000	146.73	10/19/20	310.50	...	-163.77	8 of 18 - Sale ²⁵
	86.000	217.56	10/19/20	374.82	...	-157.26	9 of 18 - Sale ²⁵

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Robinhood Securities LLC

Account 476162474

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
RIGEL PHARMACEUTICALS, INC. CO MMON STOCK / CUSIP: 766559603 / Symbol: (cont'd)							
	174.000	440.20	10/19/20	584.32	...	-144.12	10 of 18 - Sale ²⁵
	62.000	156.85	10/19/20	270.21	...	-113.36	11 of 18 - Sale ²⁵
	40.000	101.19	10/19/20	214.14	...	-112.95	12 of 18 - Sale ²⁵
	613.000	1,550.78	10/19/20	1,647.93	...	-97.15	13 of 18 - Sale ²⁵
	20.000	50.60	10/19/20	127.02	...	-76.42	14 of 18 - Sale ²⁵
	16.000	40.48	10/19/20	101.61	...	-61.13	15 of 18 - Sale ²⁵
	2.000	5.06	10/19/20	12.70	...	-7.64	16 of 18 - Sale ²⁵
	39.000	98.67	10/19/20	104.84	...	-6.17	17 of 18 - Sale ²⁵
	1.000	2.53	10/19/20	6.35	...	-3.82	18 of 18 - Sale ²⁵
10/20/20	6,200.000	15,684.94	Various	19,617.27	...	-3,932.33	Total of 18 transactions
	Security total:	39,708.57		54,926.23	8,620.85 W	-6,596.81	
ROLLS ROYCE HOLDINGS PLC SPONS ORED AMERICAN DEPOSITARY SHARE S / CUSIP: 775781206 / Symbol:							
6 transactions for 10/16/20. Total proceeds and cost reported to the IRS.							
	1.000	2.80	10/13/20	2.42	...	0.38	1 of 6 - Sale ²⁵
	3.000	8.40	10/13/20	7.26	...	1.14	2 of 6 - Sale ²⁵
	15.000	42.00	10/13/20	36.30	...	5.70	3 of 6 - Sale ²⁵
	17.000	47.60	10/13/20	41.14	...	6.46	4 of 6 - Sale ²⁵
	358.000	1,002.33	10/13/20	866.36	...	135.97	5 of 6 - Sale ²⁵
	4,606.000	12,895.96	10/13/20	11,146.52	...	1,749.44	6 of 6 - Sale ²⁵
10/16/20	5,000.000	13,999.09	Various	12,100.00	...	1,899.09	Total of 6 transactions
SOUTHWESTERN ENERGY COMPANY / CUSIP: 845467109 / Symbol:							
05/19/20	1.000	3.05	05/04/20	2.82	...	0.23	Sale ²⁵
THERAPEUTICSMD, INC. COMMON ST OCK / CUSIP: 88338N107 / Symbol:							
89 transactions for 11/30/20. Total proceeds and cost reported to the IRS.							
	1.000	1.32	11/30/20	1.30	...	0.02	1 of 89 - Sale ²⁵
	1.000	1.32	11/30/20	1.30	...	0.02	2 of 89 - Sale ²⁵
	1.000	1.32	11/30/20	1.30	...	0.02	3 of 89 - Sale ²⁵
	1.000	1.32	11/30/20	1.30	...	0.02	4 of 89 - Sale ²⁵
	1.000	1.32	11/30/20	1.30	...	0.02	5 of 89 - Sale ²⁵
	1.000	1.32	11/30/20	1.30	...	0.02	6 of 89 - Sale ²⁵
	1.000	1.32	11/30/20	1.30	...	0.02	7 of 89 - Sale ²⁵

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Robinhood Securities LLC

Account 476162474

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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THERAPEUTICSMD, INC. COMMON ST OCK / CUSIP: 88338N107 / Symbol: (cont'd)							
	1.000	1.32	11/30/20	1.30	...	0.02	8 of 89 - Sale ²⁵
	1.000	1.32	11/30/20	1.30	...	0.02	9 of 89 - Sale ²⁵
	2.000	2.64	11/30/20	2.60	...	0.04	10 of 89 - Sale ²⁵
	2.000	2.64	11/30/20	2.60	...	0.04	11 of 89 - Sale ²⁵
	2.000	2.64	11/30/20	2.60	...	0.04	12 of 89 - Sale ²⁵
	2.000	2.64	11/30/20	2.60	...	0.04	13 of 89 - Sale ²⁵
	2.000	2.64	11/30/20	2.60	...	0.04	14 of 89 - Sale ²⁵
	2.000	2.64	11/30/20	2.60	...	0.04	15 of 89 - Sale ²⁵
	2.000	2.64	11/30/20	2.60	...	0.04	16 of 89 - Sale ²⁵
	2.000	2.64	11/30/20	2.60	...	0.04	17 of 89 - Sale ²⁵
	2.000	2.64	11/30/20	2.60	...	0.04	18 of 89 - Sale ²⁵
	2.000	2.64	11/30/20	2.60	...	0.04	19 of 89 - Sale ²⁵
	2.000	2.64	11/30/20	2.60	...	0.04	20 of 89 - Sale ²⁵
	3.000	3.96	11/30/20	3.90	...	0.06	21 of 89 - Sale ²⁵
	3.000	3.96	11/30/20	3.90	...	0.06	22 of 89 - Sale ²⁵
	3.000	3.96	11/30/20	3.90	...	0.06	23 of 89 - Sale ²⁵
	3.000	3.96	11/30/20	3.90	...	0.06	24 of 89 - Sale ²⁵
	4.000	5.28	11/30/20	5.20	...	0.08	25 of 89 - Sale ²⁵
	4.000	5.28	11/30/20	5.20	...	0.08	26 of 89 - Sale ²⁵
	4.000	5.28	11/30/20	5.20	...	0.08	27 of 89 - Sale ²⁵
	4.000	5.28	11/30/20	5.20	...	0.08	28 of 89 - Sale ²⁵
	4.000	5.28	11/30/20	5.20	...	0.08	29 of 89 - Sale ²⁵
	5.000	6.60	11/30/20	6.50	...	0.10	30 of 89 - Sale ²⁵
	5.000	6.60	11/30/20	6.50	...	0.10	31 of 89 - Sale ²⁵
	5.000	6.60	11/30/20	6.50	...	0.10	32 of 89 - Sale ²⁵
	5.000	6.60	11/30/20	6.50	...	0.10	33 of 89 - Sale ²⁵
	6.000	7.92	11/30/20	7.80	...	0.12	34 of 89 - Sale ²⁵
	7.000	9.24	11/30/20	9.10	...	0.14	35 of 89 - Sale ²⁵
	7.000	9.24	11/30/20	9.10	...	0.14	36 of 89 - Sale ²⁵
	8.000	10.56	11/30/20	10.40	...	0.16	37 of 89 - Sale ²⁵
	8.000	10.56	11/30/20	10.40	...	0.16	38 of 89 - Sale ²⁵
	8.000	10.56	11/30/20	10.40	...	0.16	39 of 89 - Sale ²⁵
	9.000	11.88	11/30/20	11.70	...	0.18	40 of 89 - Sale ²⁵
	10.000	13.20	11/30/20	13.00	...	0.20	41 of 89 - Sale ²⁵

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2020 1099-B* OMB No. 1545-0715

(continued)

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THERAPEUTICSMD, INC. COMMON ST OCK / CUSIP: 88338N107 / Symbol: (cont'd)							
	10.000	13.20	11/30/20	13.00	...	0.20	42 of 89 - Sale ²⁵
	10.000	13.20	11/30/20	13.00	...	0.20	43 of 89 - Sale ²⁵
	10.000	13.20	11/30/20	13.00	...	0.20	44 of 89 - Sale ²⁵
	10.000	13.20	11/30/20	13.00	...	0.20	45 of 89 - Sale ²⁵
	10.000	13.20	11/30/20	13.00	...	0.20	46 of 89 - Sale ²⁵
	12.000	15.84	11/30/20	15.60	...	0.24	47 of 89 - Sale ²⁵
	15.000	19.80	11/30/20	19.50	...	0.30	48 of 89 - Sale ²⁵
	15.000	19.80	11/30/20	19.50	...	0.30	49 of 89 - Sale ²⁵
	15.000	19.80	11/30/20	19.50	...	0.30	50 of 89 - Sale ²⁵
	15.000	19.80	11/30/20	19.50	...	0.30	51 of 89 - Sale ²⁵
	16.000	21.12	11/30/20	20.80	...	0.32	52 of 89 - Sale ²⁵
	20.000	26.40	11/30/20	26.00	...	0.40	53 of 89 - Sale ²⁵
	20.000	26.40	11/30/20	26.00	...	0.40	54 of 89 - Sale ²⁵
	20.000	26.40	11/30/20	26.00	...	0.40	55 of 89 - Sale ²⁵
	20.000	26.40	11/30/20	26.00	...	0.40	56 of 89 - Sale ²⁵
	20.000	26.40	11/30/20	26.00	...	0.40	57 of 89 - Sale ²⁵
	23.000	30.36	11/30/20	29.90	...	0.46	58 of 89 - Sale ²⁵
	25.000	33.00	11/30/20	32.50	...	0.50	59 of 89 - Sale ²⁵
	25.000	33.00	11/30/20	32.50	...	0.50	60 of 89 - Sale ²⁵
	26.000	34.32	11/30/20	33.80	...	0.52	61 of 89 - Sale ²⁵
	32.000	42.24	11/30/20	41.60	...	0.64	62 of 89 - Sale ²⁵
	37.000	48.84	11/30/20	48.10	...	0.74	63 of 89 - Sale ²⁵
	49.000	64.68	11/30/20	63.70	...	0.98	64 of 89 - Sale ²⁵
	50.000	66.00	11/30/20	65.00	...	1.00	65 of 89 - Sale ²⁵
	50.000	66.00	11/30/20	65.00	...	1.00	66 of 89 - Sale ²⁵
	57.000	75.23	11/30/20	74.10	...	1.13	67 of 89 - Sale ²⁵
	57.000	75.23	11/30/20	74.10	...	1.13	68 of 89 - Sale ²⁵
	68.000	89.75	11/30/20	88.40	...	1.35	69 of 89 - Sale ²⁵
	70.000	92.39	11/30/20	91.00	...	1.39	70 of 89 - Sale ²⁵
	76.000	100.31	11/30/20	98.80	...	1.51	71 of 89 - Sale ²⁵
	76.000	100.31	11/30/20	98.80	...	1.51	72 of 89 - Sale ²⁵
	80.000	105.59	11/30/20	104.00	...	1.59	73 of 89 - Sale ²⁵
	100.000	131.99	11/30/20	130.00	...	1.99	74 of 89 - Sale ²⁵
	102.000	134.63	11/30/20	132.60	...	2.03	75 of 89 - Sale ²⁵

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(continued)

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THERAPEUTICSMD, INC. COMMON STOCK / CUSIP: 88338N107 / Symbol: (cont'd)							
	106.000	139.91	11/30/20	137.80	...	2.11	76 of 89 - Sale ²⁵
	130.000	171.59	11/30/20	169.00	...	2.59	77 of 89 - Sale ²⁵
	188.000	248.14	11/30/20	244.40	...	3.74	78 of 89 - Sale ²⁵
	200.000	263.97	11/30/20	260.00	...	3.97	79 of 89 - Sale ²⁵
	200.000	263.98	11/30/20	260.00	...	3.98	80 of 89 - Sale ²⁵
	239.000	315.44	11/30/20	310.70	...	4.74	81 of 89 - Sale ²⁵
	300.000	395.96	11/30/20	390.00	...	5.96	82 of 89 - Sale ²⁵
	600.000	791.91	11/30/20	780.00	...	11.91	83 of 89 - Sale ²⁵
	2,269.000	2,994.74	11/30/20	2,949.70	...	45.04	84 of 89 - Sale ²⁵
	2,561.000	3,380.14	11/30/20	3,329.30	...	50.84	85 of 89 - Sale ²⁵
	2,600.000	3,431.61	11/30/20	3,380.00	...	51.61	86 of 89 - Sale ²⁵
	2,800.000	3,695.58	11/30/20	3,640.00	...	55.58	87 of 89 - Sale ²⁵
	3,455.000	4,560.09	11/30/20	4,491.50	...	68.59	88 of 89 - Sale ²⁵
	5,465.000	7,212.99	11/30/20	7,104.50	...	108.49	89 of 89 - Sale ²⁵
11/30/20	22,500.000	29,696.80	Various	29,250.00	...	446.80	Total of 89 transactions
56 transactions for 12/22/20. Total proceeds and cost reported to the IRS.							
	279.000	334.75	12/07/20	355.73	13.01 W	-7.97	1 of 56 - Sale ²⁵
	2.000	2.40	12/07/20	2.58	0.18 W	0.00	2 of 56 - Sale ²⁵
	20.000	24.00	12/07/20	25.80	1.80 W	0.00	3 of 56 - Sale ²⁵
	2.000	2.40	12/07/20	2.58	0.18 W	0.00	4 of 56 - Sale ²⁵
	10.000	12.00	12/07/20	12.90	0.90 W	0.00	5 of 56 - Sale ²⁵
	106.000	127.18	12/07/20	136.74	9.56 W	0.00	6 of 56 - Sale ²⁵
	2.000	2.40	12/07/20	2.73	0.33 W	0.00	7 of 56 - Sale ²⁵
	2.000	2.40	12/07/20	2.73	0.33 W	0.00	8 of 56 - Sale ²⁵
	10.000	12.00	12/07/20	13.65	1.65 W	0.00	9 of 56 - Sale ²⁵
	20.000	24.00	12/07/20	27.30	3.30 W	0.00	10 of 56 - Sale ²⁵
	2.000	2.40	12/07/20	2.55	0.15 W	0.00	11 of 56 - Sale ²⁵
	1.000	1.20	12/07/20	1.27	0.07 W	0.00	12 of 56 - Sale ²⁵
	1.000	1.20	12/07/20	1.27	0.07 W	0.00	13 of 56 - Sale ²⁵
	4.000	4.80	12/07/20	5.10	0.30 W	0.00	14 of 56 - Sale ²⁵
	20.000	24.00	12/07/20	25.50	1.50 W	0.00	15 of 56 - Sale ²⁵
	400.000	479.95	12/07/20	510.00	30.05 W	0.00	16 of 56 - Sale ²⁵
	50.000	60.00	12/07/20	63.75	3.75 W	0.00	17 of 56 - Sale ²⁵
	8.000	9.60	12/07/20	10.20	0.60 W	0.00	18 of 56 - Sale ²⁵

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(continued)

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THERAPEUTICSMD, INC. COMMON ST OCK / CUSIP: 88338N107 / Symbol: (cont'd)							
	50.000	60.00	12/07/20	63.75	3.75 W	0.00	19 of 56 - Sale ²⁵
	1.000	1.20	12/07/20	1.27	0.07 W	0.00	20 of 56 - Sale ²⁵
	8.000	9.60	12/07/20	10.20	0.60 W	0.00	21 of 56 - Sale ²⁵
	3.000	3.60	12/07/20	3.83	0.23 W	0.00	22 of 56 - Sale ²⁵
	50.000	60.00	12/07/20	63.75	3.75 W	0.00	23 of 56 - Sale ²⁵
	6.000	7.20	12/07/20	7.65	0.45 W	0.00	24 of 56 - Sale ²⁵
	2.000	2.40	12/07/20	2.55	0.15 W	0.00	25 of 56 - Sale ²⁵
	30.000	36.00	12/07/20	38.25	2.25 W	0.00	26 of 56 - Sale ²⁵
	13.000	15.60	12/07/20	16.57	0.97 W	0.00	27 of 56 - Sale ²⁵
	80.000	95.99	12/07/20	102.00	6.01 W	0.00	28 of 56 - Sale ²⁵
	5.000	6.00	12/07/20	6.38	0.38 W	0.00	29 of 56 - Sale ²⁵
	2.000	2.40	12/07/20	2.55	0.15 W	0.00	30 of 56 - Sale ²⁵
	50.000	60.00	12/07/20	63.75	3.75 W	0.00	31 of 56 - Sale ²⁵
	1.000	1.20	12/07/20	1.27	0.07 W	0.00	32 of 56 - Sale ²⁵
	2.000	2.40	12/07/20	2.88	0.48 W	0.00	33 of 56 - Sale ²⁵
	2.000	2.40	12/07/20	2.88	0.48 W	0.00	34 of 56 - Sale ²⁵
	10.000	12.00	12/07/20	14.40	2.40 W	0.00	35 of 56 - Sale ²⁵
	20.000	24.00	12/07/20	28.80	4.80 W	0.00	36 of 56 - Sale ²⁵
	15.000	18.00	12/07/20	20.48	2.48 W	0.00	37 of 56 - Sale ²⁵
	45.000	54.00	12/07/20	61.43	7.43 W	0.00	38 of 56 - Sale ²⁵
	2.000	2.40	12/07/20	2.73	0.33 W	0.00	39 of 56 - Sale ²⁵
	44.000	52.79	12/07/20	60.07	7.28 W	0.00	40 of 56 - Sale ²⁵
	18.000	21.60	12/07/20	24.30	2.70 W	0.00	41 of 56 - Sale ²⁵
	20.000	24.00	12/07/20	27.01	3.01 W	0.00	42 of 56 - Sale ²⁵
	84.000	100.79	12/07/20	113.42	12.63 W	0.00	43 of 56 - Sale ²⁵
	27.000	32.40	12/07/20	36.46	4.06 W	0.00	44 of 56 - Sale ²⁵
	2.000	2.40	12/07/20	2.70	0.30 W	0.00	45 of 56 - Sale ²⁵
	12.000	14.40	12/07/20	16.20	1.80 W	0.00	46 of 56 - Sale ²⁵
	10.000	12.00	12/07/20	13.50	1.50 W	0.00	47 of 56 - Sale ²⁵
	1.000	1.20	12/07/20	1.34	0.14 W	0.00	48 of 56 - Sale ²⁵
	1.000	1.20	12/07/20	1.35	0.15 W	0.00	49 of 56 - Sale ²⁵
	2.000	2.40	12/07/20	2.70	0.30 W	0.00	50 of 56 - Sale ²⁵
	4.000	4.80	12/07/20	5.40	0.60 W	0.00	51 of 56 - Sale ²⁵
	20.000	24.00	12/07/20	27.00	3.00 W	0.00	52 of 56 - Sale ²⁵

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Robinhood Securities LLC

Account 476162474

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
THERAPEUTICSMD, INC. COMMON ST OCK / CUSIP: 88338N107 / Symbol: (cont'd)							
	22.000	26.40	12/07/20	29.70	3.30 W	0.00	53 of 56 - Sale ²⁵
	42.000	50.40	12/07/20	56.70	6.30 W	0.00	54 of 56 - Sale ²⁵
	83.000	99.59	12/07/20	112.06	12.47 W	0.00	55 of 56 - Sale ²⁵
	13.000	15.60	12/07/20	17.55	1.95 W	0.00	56 of 56 - Sale ²⁵
12/22/20	1,741.000	2,089.04	Various	2,267.21	170.20 W	-7.97	Total of 56 transactions
	77 transactions for 12/31/20. Total proceeds and cost reported to the IRS.						
	4,000.000	4,839.41	12/07/20	5,120.00	...	-280.59	1 of 77 - Sale ²⁵
	3,400.000	4,113.51	12/07/20	4,352.00	...	-238.49	2 of 77 - Sale ²⁵
	1,503.000	1,818.41	12/07/20	1,916.33	...	-97.92	3 of 77 - Sale ²⁵
	1,454.000	1,759.13	12/07/20	1,853.85	...	-94.72	4 of 77 - Sale ²⁵
	1,200.000	1,451.82	12/07/20	1,530.00	...	-78.18	5 of 77 - Sale ²⁵
	1,000.000	1,209.85	12/07/20	1,280.00	...	-70.15	6 of 77 - Sale ²⁵
	897.000	1,085.24	12/07/20	1,148.16	...	-62.92	7 of 77 - Sale ²⁵
	700.000	846.90	12/07/20	892.50	...	-45.60	8 of 77 - Sale ²⁵
	600.000	725.91	12/07/20	768.00	...	-42.09	9 of 77 - Sale ²⁵
	600.000	725.91	12/07/20	768.00	...	-42.09	10 of 77 - Sale ²⁵
	600.000	725.91	12/07/20	765.00	...	-39.09	11 of 77 - Sale ²⁵
	103.000	124.62	12/07/20	159.71	...	-35.09	12 of 77 - Sale ²⁵
	500.000	604.93	12/07/20	637.50	...	-32.57	13 of 77 - Sale ²⁵
	400.000	483.94	12/07/20	510.00	...	-26.06	14 of 77 - Sale ²⁵
	83.000	100.42	12/07/20	123.69	...	-23.27	15 of 77 - Sale ²⁵
	291.000	352.07	12/07/20	372.48	...	-20.41	16 of 77 - Sale ²⁵
	59.000	71.38	12/07/20	91.49	...	-20.11	17 of 77 - Sale ²⁵
	53.000	64.12	12/07/20	82.72	...	-18.60	18 of 77 - Sale ²⁵
	45.000	54.44	12/07/20	70.90	...	-16.46	19 of 77 - Sale ²⁵
	215.000	260.12	12/07/20	275.20	...	-15.08	20 of 77 - Sale ²⁵
	39.000	47.18	12/07/20	61.46	...	-14.28	21 of 77 - Sale ²⁵
	200.000	241.97	12/07/20	255.00	...	-13.03	22 of 77 - Sale ²⁵
	200.000	241.97	12/07/20	255.00	...	-13.03	23 of 77 - Sale ²⁵
	200.000	241.97	12/07/20	255.00	...	-13.03	24 of 77 - Sale ²⁵
	200.000	241.97	12/07/20	255.00	...	-13.03	25 of 77 - Sale ²⁵
	200.000	241.97	12/07/20	255.00	...	-13.03	26 of 77 - Sale ²⁵
	200.000	241.97	12/07/20	255.00	...	-13.03	27 of 77 - Sale ²⁵
	200.000	241.97	12/07/20	255.00	...	-13.03	28 of 77 - Sale ²⁵

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Robinhood Securities LLC

Account 476162474

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)	7- Loss not allowed (X) also not reported (Z)	Gain or loss(-) & Additional information
THERAPEUTICSMD, INC. COMMON ST OCK / CUSIP: 88338N107 / Symbol: (cont'd)							
	37.000	44.76	12/07/20	57.37	...	-12.61	29 of 77 - Sale ²⁵
	39.000	47.18	12/07/20	58.12	...	-10.94	30 of 77 - Sale ²⁵
	31.000	37.50	12/07/20	48.38	...	-10.88	31 of 77 - Sale ²⁵
	50.000	60.49	12/07/20	71.01	...	-10.52	32 of 77 - Sale ²⁵
	50.000	60.49	12/07/20	70.76	...	-10.27	33 of 77 - Sale ²⁵
	50.000	60.49	12/07/20	70.76	...	-10.27	34 of 77 - Sale ²⁵
	48.000	58.07	12/07/20	67.92	...	-9.85	35 of 77 - Sale ²⁵
	20.000	24.20	12/07/20	33.00	...	-8.80	36 of 77 - Sale ²⁵
	41.000	49.61	12/07/20	58.24	...	-8.63	37 of 77 - Sale ²⁵
	41.000	49.60	12/07/20	58.02	...	-8.42	38 of 77 - Sale ²⁵
	39.000	47.18	12/07/20	55.19	...	-8.01	39 of 77 - Sale ²⁵
	22.000	26.62	12/07/20	34.33	...	-7.71	40 of 77 - Sale ²⁵
	20.000	24.20	12/07/20	31.21	...	-7.01	41 of 77 - Sale ²⁵
	18.000	21.78	12/07/20	28.08	...	-6.30	42 of 77 - Sale ²⁵
	22.000	26.62	12/07/20	32.79	...	-6.17	43 of 77 - Sale ²⁵
	30.000	36.30	12/07/20	42.45	...	-6.15	44 of 77 - Sale ²⁵
	20.000	24.20	12/07/20	29.80	...	-5.60	45 of 77 - Sale ²⁵
	41.000	49.61	12/07/20	55.15	...	-5.54	46 of 77 - Sale ²⁵
	15.000	18.15	12/07/20	23.64	...	-5.49	47 of 77 - Sale ²⁵
	10.000	12.10	12/07/20	16.50	...	-4.40	48 of 77 - Sale ²⁵
	29.000	35.09	12/07/20	39.01	...	-3.92	49 of 77 - Sale ²⁵
	29.000	35.09	12/07/20	39.00	...	-3.91	50 of 77 - Sale ²⁵
	13.000	15.73	12/07/20	19.38	...	-3.65	51 of 77 - Sale ²⁵
	12.000	14.52	12/07/20	17.88	...	-3.36	52 of 77 - Sale ²⁵
	10.000	12.10	12/07/20	14.90	...	-2.80	53 of 77 - Sale ²⁵
	13.000	15.73	12/07/20	18.39	...	-2.66	54 of 77 - Sale ²⁵
	40.000	48.39	12/07/20	51.00	...	-2.61	55 of 77 - Sale ²⁵
	5.000	6.05	12/07/20	7.87	...	-1.82	56 of 77 - Sale ²⁵
	8.000	9.68	12/07/20	11.32	...	-1.64	57 of 77 - Sale ²⁵
	8.000	9.68	12/07/20	11.32	...	-1.64	58 of 77 - Sale ²⁵
	6.000	7.26	12/07/20	8.49	...	-1.23	59 of 77 - Sale ²⁵
	4.000	4.84	12/07/20	5.96	...	-1.12	60 of 77 - Sale ²⁵
	5.000	6.05	12/07/20	7.11	...	-1.06	61 of 77 - Sale ²⁵
	2.000	2.42	12/07/20	3.30	...	-0.88	62 of 77 - Sale ²⁵

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Robinhood Securities LLC

Account 476162474

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
THERAPEUTICSMD, INC. COMMON ST OCK / CUSIP: 88338N107 / Symbol: (cont'd)							
	2.000	2.42	12/07/20	3.30	...	-0.88	63 of 77 - Sale ²⁵
	3.000	3.63	12/07/20	4.47	...	-0.84	64 of 77 - Sale ²⁵
	2.000	2.42	12/07/20	3.15	...	-0.73	65 of 77 - Sale ²⁵
	3.000	3.63	12/07/20	4.25	...	-0.62	66 of 77 - Sale ²⁵
	2.000	2.42	12/07/20	2.98	...	-0.56	67 of 77 - Sale ²⁵
	2.000	2.42	12/07/20	2.98	...	-0.56	68 of 77 - Sale ²⁵
	2.000	2.42	12/07/20	2.84	...	-0.42	69 of 77 - Sale ²⁵
	2.000	2.42	12/07/20	2.83	...	-0.41	70 of 77 - Sale ²⁵
	2.000	2.42	12/07/20	2.83	...	-0.41	71 of 77 - Sale ²⁵
	1.000	1.21	12/07/20	1.50	...	-0.29	72 of 77 - Sale ²⁵
	1.000	1.21	12/07/20	1.48	...	-0.27	73 of 77 - Sale ²⁵
	1.000	1.21	12/07/20	1.41	...	-0.20	74 of 77 - Sale ²⁵
	1.000	1.21	12/07/20	1.41	...	-0.20	75 of 77 - Sale ²⁵
	0.578	0.70	12/07/20	0.90	...	-0.20	76 of 77 - Sale ²⁵
	1.000	1.21	12/07/20	1.35	...	-0.14	77 of 77 - Sale ²⁵
12/31/20	19,995.578	24,191.74	Various	25,799.32	...	-1,607.58	Total of 77 transactions
	62 transactions for 12/31/20. Total proceeds and cost reported to the IRS.						
	27.000	32.67	12/07/20	40.24	6.33 W	-1.24	1 of 62 - Sale ²⁵
	199.000	240.76	12/07/20	268.68	27.92 W	0.00	2 of 62 - Sale ²⁵
	2.000	2.42	12/07/20	3.03	0.61 W	0.00	3 of 62 - Sale ²⁵
	2.000	2.42	12/07/20	3.03	0.61 W	0.00	4 of 62 - Sale ²⁵
	10.000	12.10	12/07/20	15.15	3.05 W	0.00	5 of 62 - Sale ²⁵
	20.000	24.20	12/07/20	30.30	6.10 W	0.00	6 of 62 - Sale ²⁵
	2.000	2.42	12/07/20	2.88	0.46 W	0.00	7 of 62 - Sale ²⁵
	15.000	18.15	12/07/20	21.61	3.46 W	0.00	8 of 62 - Sale ²⁵
	5.000	6.05	12/07/20	7.20	1.15 W	0.00	9 of 62 - Sale ²⁵
	45.000	54.44	12/07/20	64.80	10.36 W	0.00	10 of 62 - Sale ²⁵
	199.000	240.76	12/07/20	281.64	40.88 W	0.00	11 of 62 - Sale ²⁵
	1.000	1.21	12/07/20	1.41	0.20 W	0.00	12 of 62 - Sale ²⁵
	1.000	1.21	12/07/20	1.43	0.22 W	0.00	13 of 62 - Sale ²⁵
	2.000	2.42	12/07/20	2.85	0.43 W	0.00	14 of 62 - Sale ²⁵
	2.000	2.42	12/07/20	2.85	0.43 W	0.00	15 of 62 - Sale ²⁵
	4.000	4.84	12/07/20	5.70	0.86 W	0.00	16 of 62 - Sale ²⁵
	10.000	12.10	12/07/20	14.25	2.15 W	0.00	17 of 62 - Sale ²⁵

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Robinhood Securities LLC

Account 476162474

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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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
THERAPEUTICSMD, INC. COMMON ST OCK / CUSIP: 88338N107 / Symbol: (cont'd)							
12.000		14.52	12/07/20	17.10	2.58 W	0.00	18 of 62 - Sale ²⁵
18.000		21.78	12/07/20	25.65	3.87 W	0.00	19 of 62 - Sale ²⁵
20.000		24.20	12/07/20	28.51	4.31 W	0.00	20 of 62 - Sale ²⁵
20.000		24.20	12/07/20	28.50	4.30 W	0.00	21 of 62 - Sale ²⁵
22.000		26.61	12/07/20	31.35	4.74 W	0.00	22 of 62 - Sale ²⁵
27.000		32.67	12/07/20	38.49	5.82 W	0.00	23 of 62 - Sale ²⁵
39.000		47.18	12/07/20	55.58	8.40 W	0.00	24 of 62 - Sale ²⁵
39.000		47.18	12/07/20	56.18	9.00 W	0.00	25 of 62 - Sale ²⁵
84.000		101.62	12/07/20	119.73	18.11 W	0.00	26 of 62 - Sale ²⁵
13.000		15.73	12/07/20	18.53	2.80 W	0.00	27 of 62 - Sale ²⁵
3.000		3.63	12/07/20	4.27	0.64 W	0.00	28 of 62 - Sale ²⁵
83.000		100.42	12/07/20	118.29	17.87 W	0.00	29 of 62 - Sale ²⁵
8.000		9.68	12/07/20	10.80	1.12 W	0.00	30 of 62 - Sale ²⁵
41.000		49.61	12/07/20	55.36	5.75 W	0.00	31 of 62 - Sale ²⁵
50.000		60.49	12/07/20	67.50	7.01 W	0.00	32 of 62 - Sale ²⁵
2.000		2.42	12/07/20	2.70	0.28 W	0.00	33 of 62 - Sale ²⁵
1.000		1.21	12/07/20	1.34	0.13 W	0.00	34 of 62 - Sale ²⁵
2.000		2.42	12/07/20	2.70	0.28 W	0.00	35 of 62 - Sale ²⁵
3.000		3.63	12/07/20	4.06	0.43 W	0.00	36 of 62 - Sale ²⁵
6.000		7.26	12/07/20	8.10	0.84 W	0.00	37 of 62 - Sale ²⁵
8.000		9.68	12/07/20	10.80	1.12 W	0.00	38 of 62 - Sale ²⁵
13.000		15.73	12/07/20	17.54	1.81 W	0.00	39 of 62 - Sale ²⁵
30.000		36.30	12/07/20	40.50	4.20 W	0.00	40 of 62 - Sale ²⁵
48.000		58.08	12/07/20	64.80	6.72 W	0.00	41 of 62 - Sale ²⁵
50.000		60.49	12/07/20	67.50	7.01 W	0.00	42 of 62 - Sale ²⁵
39.000		47.18	12/07/20	52.65	5.47 W	0.00	43 of 62 - Sale ²⁵
1.000		1.21	12/07/20	1.34	0.13 W	0.00	44 of 62 - Sale ²⁵
2.000		2.42	12/07/20	2.70	0.28 W	0.00	45 of 62 - Sale ²⁵
5.000		6.05	12/07/20	6.76	0.71 W	0.00	46 of 62 - Sale ²⁵
50.000		60.49	12/07/20	67.50	7.01 W	0.00	47 of 62 - Sale ²⁵
41.000		49.60	12/07/20	55.36	5.76 W	0.00	48 of 62 - Sale ²⁵
100.000		120.99	12/07/20	127.50	6.51 W	0.00	49 of 62 - Sale ²⁵
2.000		2.42	12/07/20	3.16	0.74 W	0.00	50 of 62 - Sale ²⁵
2.000		2.42	12/07/20	3.16	0.74 W	0.00	51 of 62 - Sale ²⁵

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(continued)

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THERAPEUTICSMD, INC. COMMON ST OCK / CUSIP: 88338N107 / Symbol: (cont'd)							
	10.000	12.10	12/07/20	15.80	3.70 W	0.00	52 of 62 - Sale ²⁵
	20.000	24.20	12/07/20	31.60	7.40 W	0.00	53 of 62 - Sale ²⁵
	199.000	240.76	12/07/20	294.61	53.85 W	0.00	54 of 62 - Sale ²⁵
	2.000	2.42	12/07/20	3.01	0.59 W	0.00	55 of 62 - Sale ²⁵
	5.000	6.05	12/07/20	7.52	1.47 W	0.00	56 of 62 - Sale ²⁵
	15.000	18.15	12/07/20	22.59	4.44 W	0.00	57 of 62 - Sale ²⁵
	18.000	21.78	12/07/20	26.82	5.04 W	0.00	58 of 62 - Sale ²⁵
	20.000	24.20	12/07/20	29.81	5.61 W	0.00	59 of 62 - Sale ²⁵
	39.000	47.18	12/07/20	58.72	11.54 W	0.00	60 of 62 - Sale ²⁵
	45.000	54.44	12/07/20	67.74	13.30 W	0.00	61 of 62 - Sale ²⁵
	84.000	101.63	12/07/20	125.21	23.58 W	0.00	62 of 62 - Sale ²⁵
12/31/20	1,887.000	2,283.02	Various	2,666.49	382.23 W	-1.24	Total of 62 transactions
	Security total:	58,260.60		59,983.02	552.43 W	-1,169.99	
UNITED AIRLINES HOLDINGS, INC. COMMON STOCK / CUSIP: 910047109 / Symbol:							
3 transactions for 05/12/20. Total proceeds and cost reported to the IRS.							
	12.000	267.60	05/12/20	273.12	...	-5.52	1 of 3 - Sale ²⁵
	10.000	223.00	05/12/20	227.60	...	-4.60	2 of 3 - Sale ²⁵
	3.000	66.90	05/12/20	68.28	...	-1.38	3 of 3 - Sale ²⁵
05/12/20	25.000	557.50	Various	569.00	...	-11.50	Total of 3 transactions
10/29/20	153.000	5,121.20	10/28/20	5,009.22	...	111.98	Sale ²⁵
	Security total:	5,678.70		5,578.22	...	100.48	
NORWEGIAN CRUISE LINE HOLDINGS LTD. ORDINARY SHARES / CUSIP: G66721104 / Symbol:							
05/07/20	100.000	1,194.96	05/06/20	1,170.00	...	24.96	Sale ²⁵
Totals :		388,939.28		390,323.63	10,212.33 W	8,827.98	

* 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 476162474

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
		06/04/20	-5.00	Margin interest paid	
		07/06/20	-5.00	Margin interest paid	
		08/03/20	-5.00	Margin interest paid	
		09/02/20	-5.00	Margin interest paid	
		10/02/20	-5.00	Margin interest paid	
		11/02/20	-5.00	Margin interest paid	
		12/01/20	-5.00	Margin interest paid	
		12/31/20	-5.00	Margin interest paid	
			-40.00	Total Margin interest paid	
			-40.00	Total Margin interest paid	

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-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 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)

Instructions for Recipient

(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.

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