

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 717206015	Statement Date: 02/14/2021 Document ID: 5839 B9S Y1UA	2020
	Sandeep Kanaparthi 1241 El Mar Ct Watsonville, CA 95076 RECIPIENT'S TIN: XXX-XX-8711		

Summary Information

<p>DIVIDENDS AND DISTRIBUTIONS 2020 1099-DIV* OMB No. 1545-0110</p> <p>1a- Total ordinary dividends (includes lines 1b, 5) 0.13</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 0.13</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)	319,452.15	322,065.18	0.00	6,983.98	4,370.95
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	319,452.15	322,065.18	0.00	6,983.98	4,370.95
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	319,452.15	322,065.18	0.00	6,983.98	4,370.95
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

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

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Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

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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
ALIBABA GROUP HOLDING LIMITED AMERICAN DEPOSITARY SHARES, EA CH REPRESENTS EIGHT ORDINARY S / CUSIP: 01609W102 / Symbol:							
4 transactions for 11/13/20. Total proceeds and cost reported to the IRS.							
	3.000	788.54	11/11/20	805.05	...	-16.51	1 of 4 - Sale ²⁵
	0.675	173.90	11/11/20	184.60	...	-10.70	2 of 4 - Sale ²⁵
	1.000	262.84	11/11/20	268.27	...	-5.43	3 of 4 - Sale ²⁵
	0.003	0.75	11/11/20	0.81	...	-0.06	4 of 4 - Sale ²⁵
11/13/20	4.678	1,226.03	Various	1,258.73	...	-32.70	Total of 4 transactions
11/13/20	9.000	2,365.59	11/11/20	2,412.26	3.52 W	-43.15	Sale ²⁵
Security total:		3,591.62		3,670.99	3.52 W	-75.85	
AMERICAN RESOURCES CORPORATION CLASS A COMMON STOCK / CUSIP: 02927U208 / Symbol:							
6 transactions for 10/13/20. Total proceeds and cost reported to the IRS.							
	330.000	631.37	10/07/20	1,204.50	573.13 W	0.00	1 of 6 - Sale ²⁵
	55.000	105.23	10/08/20	129.79	24.56 W	0.00	2 of 6 - Sale ²⁵

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Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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

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

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

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
AMERICAN RESOURCES CORPORATION CLASS A COMMON STOCK / CUSIP: 0292U208 / Symbol: (cont'd)							
	1,000.000	1,913.23	10/13/20	1,928.10	14.87 W	0.00	3 of 6 - Sale ²⁵
	400.000	765.29	10/13/20	772.00	6.71 W	0.00	4 of 6 - Sale ²⁵
	100.000	191.33	10/13/20	193.00	1.67 W	0.00	5 of 6 - Sale ²⁵
	115.000	220.02	10/13/20	221.95	1.93 W	0.00	6 of 6 - Sale ²⁵
10/13/20	2,000.000	3,826.47	Various	4,449.34	622.87 W	0.00	Total of 6 transactions
	20 transactions for 10/16/20. Total proceeds and cost reported to the IRS.						
	115.000	196.64	10/16/20	422.83	...	-226.19	1 of 20 - Sale ²⁵
	100.000	170.99	10/16/20	367.65	...	-196.66	2 of 20 - Sale ²⁵
	85.000	145.34	10/16/20	312.10	...	-166.76	3 of 20 - Sale ²⁵
	185.000	316.33	10/16/20	361.64	...	-45.31	4 of 20 - Sale ²⁵
	185.000	316.33	10/16/20	361.63	...	-45.30	5 of 20 - Sale ²⁵
	185.000	316.37	10/16/20	361.59	...	-45.22	6 of 20 - Sale ²⁵
	170.000	290.68	10/16/20	332.31	...	-41.63	7 of 20 - Sale ²⁵
	55.000	94.04	10/16/20	131.26	...	-37.22	8 of 20 - Sale ²⁵
	15.000	25.65	10/16/20	55.15	...	-29.50	9 of 20 - Sale ²⁵
	15.000	25.65	10/16/20	55.08	...	-29.43	10 of 20 - Sale ²⁵
	100.000	171.49	10/16/20	195.48	...	-23.99	11 of 20 - Sale ²⁵
	85.000	145.34	10/16/20	166.16	...	-20.82	12 of 20 - Sale ²⁵
	200.000	341.98	10/16/20	347.34	...	-5.36	13 of 20 - Sale ²⁵
	15.000	25.65	10/16/20	29.32	...	-3.67	14 of 20 - Sale ²⁵
	15.000	25.65	10/16/20	29.32	...	-3.67	15 of 20 - Sale ²⁵
	15.000	25.65	10/16/20	29.32	...	-3.67	16 of 20 - Sale ²⁵
	15.000	25.65	10/16/20	29.32	...	-3.67	17 of 20 - Sale ²⁵
	15.000	25.65	10/16/20	29.32	...	-3.67	18 of 20 - Sale ²⁵
	15.000	25.65	10/16/20	29.32	...	-3.67	19 of 20 - Sale ²⁵
	30.000	51.30	10/16/20	52.10	...	-0.80	20 of 20 - Sale ²⁵
10/16/20	1,615.000	2,762.03	Various	3,698.24	...	-936.21	Total of 20 transactions
	10 transactions for 10/16/20. Total proceeds and cost reported to the IRS.						
	100.000	171.49	10/13/20	366.68	195.19 W	0.00	1 of 10 - Sale ²⁵
	100.000	171.01	10/13/20	366.67	195.66 W	0.00	2 of 10 - Sale ²⁵
	130.000	222.29	10/13/20	476.68	254.39 W	0.00	3 of 10 - Sale ²⁵
	55.000	94.04	10/13/20	130.71	36.67 W	0.00	4 of 10 - Sale ²⁵
	15.000	25.65	10/13/20	29.17	3.52 W	0.00	5 of 10 - Sale ²⁵
	200.000	341.98	10/13/20	388.95	46.97 W	0.00	6 of 10 - Sale ²⁵

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Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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

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

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

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
AMERICAN RESOURCES CORPORATION CLASS A COMMON STOCK / CUSIP: 02927U208 / Symbol: (cont'd)							
	200.000	341.98	10/13/20	388.96	46.98 W	0.00	7 of 10 - Sale ²⁵
	200.000	342.02	10/13/20	388.95	46.93 W	0.00	8 of 10 - Sale ²⁵
	200.000	341.98	10/13/20	388.96	46.98 W	0.00	9 of 10 - Sale ²⁵
	185.000	316.33	10/13/20	359.78	43.45 W	0.00	10 of 10 - Sale ²⁵
10/16/20	1,385.000	2,368.77	Various	3,285.51	916.74 W	0.00	Total of 10 transactions
	4 transactions for 10/20/20. Total proceeds and cost reported to the IRS.						
	1,000.000	1,569.96	10/16/20	1,719.90	...	-149.94	1 of 4 - Sale ²⁵
	170.000	266.89	10/16/20	295.23	...	-28.34	2 of 4 - Sale ²⁵
	115.000	180.54	10/16/20	199.72	...	-19.18	3 of 4 - Sale ²⁵
	100.000	156.99	10/16/20	173.66	...	-16.67	4 of 4 - Sale ²⁵
10/20/20	1,385.000	2,174.38	Various	2,388.51	...	-214.13	Total of 4 transactions
	Security total:	11,131.65		13,821.60	1,539.61 W	-1,150.34	
APPLE INC. COMMON STOCK / CUSIP: 037833100 / Symbol:							
	4 transactions for 10/13/20. Total proceeds and cost reported to the IRS.						
	6.355	786.05	08/31/20	801.51	...	-15.46	1 of 4 - Sale ²⁵
	8.645	1,069.41	09/04/20	1,000.00	...	69.41	2 of 4 - Sale ²⁵
	0.645	79.83	09/21/20	70.81	...	9.02	3 of 4 - Sale ²⁵
	9.355	1,157.14	09/21/20	1,003.65	...	153.49	4 of 4 - Sale ²⁵
10/13/20	25.000	3,092.43	Various	2,875.97	...	216.46	Total of 4 transactions
10/13/20	0.645	79.83	08/31/20	81.40	1.57 W	0.00	Sale ²⁵
	Security total:	3,172.26		2,957.37	1.57 W	216.46	
BOEING COMPANY / CUSIP: 097023105 / Symbol:							
09/30/20	20.000	3,319.92	09/24/20	2,914.19	...	405.73	Sale ²⁵
CARVANA CO. / CUSIP: 146869102 / Symbol:							
	2 transactions for 09/22/20. Total proceeds and cost reported to the IRS.						
	1.000	226.00	09/22/20	226.02	0.02 W	0.00	1 of 2 - Sale ²⁵
	9.000	2,033.95	09/22/20	2,034.13	0.18 W	0.00	2 of 2 - Sale ²⁵
09/22/20	10.000	2,259.95	Various	2,260.15	0.20 W	0.00	Total of 2 transactions
	3 transactions for 10/16/20. Total proceeds and cost reported to the IRS.						
	1.000	219.99	10/14/20	212.38	...	7.61	1 of 3 - Sale ²⁵
	9.000	1,979.96	10/14/20	1,911.40	...	68.56	2 of 3 - Sale ²⁵

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Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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

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

"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
CARVANA CO. / CUSIP: 146869102 / Symbol: (cont'd)							
	10.000	2,199.95	10/14/20	2,123.57	...	76.38	3 of 3 - Sale ²⁵
10/16/20	20.000	4,399.90	Various	4,247.35	...	152.55	Total of 3 transactions
	Security total:	6,659.85		6,507.50	0.20 W	152.55	
CBAK ENERGY TECHNOLOGY, INC. C OMMON STOCK / CUSIP: 14986C102 / Symbol:							
11 transactions for 10/20/20. Total proceeds and cost reported to the IRS.							
	100.000	289.99	10/05/20	456.99	167.00 W	0.00	1 of 11 - Sale ²⁵
	65.000	188.49	10/05/20	297.04	108.55 W	0.00	2 of 11 - Sale ²⁵
	7.000	20.30	10/05/20	42.04	21.74 W	0.00	3 of 11 - Sale ²⁵
	8.000	23.20	10/05/20	45.80	22.60 W	0.00	4 of 11 - Sale ²⁵
	17.000	49.30	10/05/20	97.33	48.03 W	0.00	5 of 11 - Sale ²⁵
	4.000	11.60	10/05/20	23.08	11.48 W	0.00	6 of 11 - Sale ²⁵
	7.000	20.30	10/16/20	45.96	25.66 W	0.00	7 of 11 - Sale ²⁵
	8.000	23.20	10/16/20	50.28	27.08 W	0.00	8 of 11 - Sale ²⁵
	64.000	185.59	10/16/20	328.31	142.72 W	0.00	9 of 11 - Sale ²⁵
	65.000	188.49	10/16/20	333.44	144.95 W	0.00	10 of 11 - Sale ²⁵
	356.000	1,032.32	10/16/20	1,231.73	199.41 W	0.00	11 of 11 - Sale ²⁵
10/20/20	701.000	2,032.78	Various	2,952.00	919.22 W	0.00	Total of 11 transactions
10 transactions for 11/13/20. Total proceeds and cost reported to the IRS.							
	302.000	1,791.00	11/13/20	1,957.00	...	-166.00	1 of 10 - Sale ²⁵
	65.000	385.48	11/13/20	529.75	...	-144.27	2 of 10 - Sale ²⁵
	64.000	379.55	11/13/20	522.24	...	-142.69	3 of 10 - Sale ²⁵
	17.000	100.82	11/13/20	148.83	...	-48.01	4 of 10 - Sale ²⁵
	54.000	320.24	11/13/20	350.46	...	-30.22	5 of 10 - Sale ²⁵
	8.000	47.44	11/13/20	74.52	...	-27.08	6 of 10 - Sale ²⁵
	7.000	41.51	11/13/20	67.17	...	-25.66	7 of 10 - Sale ²⁵
	4.000	23.72	11/13/20	35.20	...	-11.48	8 of 10 - Sale ²⁵
	979.000	5,805.91	11/13/20	5,805.42	...	0.49	9 of 10 - Sale ²⁵
	100.000	593.05	11/13/20	592.00	...	1.05	10 of 10 - Sale ²⁵
11/13/20	1,600.000	9,488.72	Various	10,082.59	...	-593.87	Total of 10 transactions
14 transactions for 11/13/20. Total proceeds and cost reported to the IRS.							
	7.000	41.51	11/13/20	67.17	25.66 W	0.00	1 of 14 - Sale ²⁵
	8.000	47.44	11/13/20	74.52	27.08 W	0.00	2 of 14 - Sale ²⁵
	4.000	23.72	11/13/20	35.20	11.48 W	0.00	3 of 14 - Sale ²⁵

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Robinhood Securities LLC

Account 717206015

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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CBAK ENERGY TECHNOLOGY, INC. C OMMON STOCK / CUSIP: 14986C102 / Symbol: (cont'd)							
	17.000	100.81	11/13/20	148.83	48.02 W	0.00	4 of 14 - Sale ²⁵
	64.000	379.50	11/13/20	522.22	142.72 W	0.00	5 of 14 - Sale ²⁵
	65.000	385.43	11/13/20	530.38	144.95 W	0.00	6 of 14 - Sale ²⁵
	302.000	1,790.77	11/13/20	1,959.93	169.16 W	0.00	7 of 14 - Sale ²⁵
	54.000	319.67	11/13/20	350.45	30.78 W	0.00	8 of 14 - Sale ²⁵
	979.000	5,795.44	11/13/20	5,805.18	9.74 W	0.00	9 of 14 - Sale ²⁵
	7.000	41.44	11/13/20	67.17	25.73 W	0.00	10 of 14 - Sale ²⁵
	8.000	47.36	11/13/20	74.52	27.16 W	0.00	11 of 14 - Sale ²⁵
	4.000	23.68	11/13/20	35.20	11.52 W	0.00	12 of 14 - Sale ²⁵
	17.000	100.63	11/13/20	148.82	48.19 W	0.00	13 of 14 - Sale ²⁵
	64.000	378.86	11/13/20	522.22	143.36 W	0.00	14 of 14 - Sale ²⁵
11/13/20	1,600.000	9,476.26	Various	10,341.81	865.55 W	0.00	Total of 14 transactions
	Security total:	20,997.76		23,376.40	1,784.77 W	-593.87	
CELLECTAR BIOSCIENCES, INC. C OMMON STOCK / CUSIP: 15117F500 / Symbol:							
3 transactions for 12/08/20. Total proceeds and cost reported to the IRS.							
	500.000	1,069.97	12/02/20	905.00	...	164.97	1 of 3 - Sale ²⁵
	1,936.000	4,142.91	12/02/20	3,503.97	...	638.94	2 of 3 - Sale ²⁵
	4,864.000	10,408.63	12/02/20	8,803.35	...	1,605.28	3 of 3 - Sale ²⁵
12/08/20	7,300.000	15,621.51	Various	13,212.32	...	2,409.19	Total of 3 transactions
CINEDIGM CORP., CLASS A COMMON STOCK / CUSIP: 172406209 / Symbol:							
11 transactions for 12/09/20. Total proceeds and cost reported to the IRS.							
	1.000	0.93	12/08/20	0.86	...	0.07	1 of 11 - Sale ²⁵
	27.000	25.11	12/08/20	23.21	...	1.90	2 of 11 - Sale ²⁵
	100.000	92.99	12/08/20	85.96	...	7.03	3 of 11 - Sale ²⁵
	100.000	92.99	12/08/20	85.96	...	7.03	4 of 11 - Sale ²⁵
	100.000	92.99	12/08/20	85.91	...	7.08	5 of 11 - Sale ²⁵
	100.000	93.29	12/08/20	85.96	...	7.33	6 of 11 - Sale ²⁵
	500.000	466.04	12/08/20	429.80	...	36.24	7 of 11 - Sale ²⁵
	2,000.000	1,859.71	12/08/20	1,719.20	...	140.51	8 of 11 - Sale ²⁵
	4,900.000	4,556.30	12/08/20	4,212.04	...	344.26	9 of 11 - Sale ²⁵
	8,672.000	8,073.29	12/08/20	7,454.45	...	618.84	10 of 11 - Sale ²⁵

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Account 717206015

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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CINEDIGM CORP., CLASS A COMMON STOCK / CUSIP: 172406209 / Symbol: (cont'd)							
	2,100.000	1,932.33	12/09/20	2,093.07	...	-160.74	11 of 11 - Sale ²⁵
12/09/20	18,600.000	17,285.97	Various	16,276.42	...	1,009.55	Total of 11 transactions
COCRYSTAL PHARMA, INC. COMMON STOCK / CUSIP: 19188J300 / Symbol:							
12 transactions for 11/27/20. Total proceeds and cost reported to the IRS.							
	100.000	186.99	11/25/20	175.65	...	11.34	1 of 12 - Sale ²⁵
	100.000	186.99	11/25/20	175.65	...	11.34	2 of 12 - Sale ²⁵
	200.000	373.98	11/25/20	351.30	...	22.68	3 of 12 - Sale ²⁵
	300.000	560.94	11/25/20	526.95	...	33.99	4 of 12 - Sale ²⁵
	300.000	562.44	11/25/20	525.00	...	37.44	5 of 12 - Sale ²⁵
	400.000	747.93	11/25/20	702.60	...	45.33	6 of 12 - Sale ²⁵
	600.000	1,121.90	11/25/20	1,050.00	...	71.90	7 of 12 - Sale ²⁵
	700.000	1,308.89	11/25/20	1,229.55	...	79.34	8 of 12 - Sale ²⁵
	800.000	1,495.86	11/25/20	1,405.20	...	90.66	9 of 12 - Sale ²⁵
	1,400.000	2,617.77	11/25/20	2,459.10	...	158.67	10 of 12 - Sale ²⁵
	1,700.000	3,178.72	11/25/20	2,986.05	...	192.67	11 of 12 - Sale ²⁵
	1,900.000	3,552.69	11/25/20	3,337.35	...	215.34	12 of 12 - Sale ²⁵
11/27/20	8,500.000	15,895.10	Various	14,924.40	...	970.70	Total of 12 transactions
CYNERGISTEK, INC. / CUSIP: 23258P105 / Symbol:							
12/09/20	600.000	857.91	12/08/20	858.00	...	-0.09	Sale ²⁵
DRAFTKINGS INC. CLASS A COMMON STOCK / CUSIP: 26142R104 / Symbol:							
3 transactions for 10/02/20. Total proceeds and cost reported to the IRS.							
	0.006	0.41	10/01/20	0.40	...	0.01	1 of 3 - Sale ²⁵
	0.767	47.69	10/01/20	47.27	...	0.42	2 of 3 - Sale ²⁵
	8.994	567.84	10/01/20	554.54	...	13.30	3 of 3 - Sale ²⁵
10/02/20	9.767	615.94	Various	602.21	...	13.73	Total of 3 transactions
10/16/20	25.000	1,156.55	10/15/20	1,155.56	...	0.99	Sale ²⁵
	Security total:	1,772.49		1,757.77	...	14.72	

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Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

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EXPRESS, INC. / CUSIP: 30219E103 / Symbol:							
6 transactions for 11/25/20. Total proceeds and cost reported to the IRS.							
	225.000	325.09	11/24/20	382.50	...	-57.41	1 of 6 - Sale ²⁵
	100.000	144.48	11/24/20	170.00	...	-25.52	2 of 6 - Sale ²⁵
	100.000	144.48	11/24/20	170.00	...	-25.52	3 of 6 - Sale ²⁵
	100.000	144.48	11/24/20	170.00	...	-25.52	4 of 6 - Sale ²⁵
	100.000	144.49	11/24/20	170.00	...	-25.51	5 of 6 - Sale ²⁵
	25.000	36.12	11/24/20	42.50	...	-6.38	6 of 6 - Sale ²⁵
11/25/20	650.000	939.14	Various	1,105.00	...	-165.86	Total of 6 transactions
FORESIGHT AUTONOMOUS HOLDINGS LTD. AMERICAN DEPOSITARY SHARE S / CUSIP: 345523104 / Symbol:							
7 transactions for 11/24/20. Total proceeds and cost reported to the IRS.							
	31.000	38.44	11/23/20	38.13	...	0.31	1 of 7 - Sale ²⁵
	50.000	62.00	11/23/20	61.50	...	0.50	2 of 7 - Sale ²⁵
	119.000	147.55	11/23/20	146.37	...	1.18	3 of 7 - Sale ²⁵
	800.000	991.87	11/23/20	984.00	...	7.87	4 of 7 - Sale ²⁵
	2,000.000	2,479.70	11/23/20	2,460.00	...	19.70	5 of 7 - Sale ²⁵
	2,000.000	2,479.70	11/23/20	2,460.00	...	19.70	6 of 7 - Sale ²⁵
	6,000.000	7,439.11	11/23/20	7,380.00	...	59.11	7 of 7 - Sale ²⁵
11/24/20	11,000.000	13,638.37	Various	13,530.00	...	108.37	Total of 7 transactions
FREIGHTCAR AMERICA, INC. COMMO N STOCK / CUSIP: 357023100 / Symbol:							
32 transactions for 11/30/20. Total proceeds and cost reported to the IRS.							
	555.000	1,309.69	11/27/20	1,964.69	...	-655.00	1 of 32 - Sale ²⁵
	100.000	235.98	11/27/20	401.01	...	-165.03	2 of 32 - Sale ²⁵
	74.000	174.63	11/27/20	337.46	...	-162.83	3 of 32 - Sale ²⁵
	74.000	174.63	11/27/20	296.00	...	-121.37	4 of 32 - Sale ²⁵
	70.000	165.19	11/27/20	284.90	...	-119.71	5 of 32 - Sale ²⁵
	72.000	169.91	11/27/20	289.44	...	-119.53	6 of 32 - Sale ²⁵
	100.000	245.99	11/27/20	357.99	...	-112.00	7 of 32 - Sale ²⁵
	100.000	243.99	11/27/20	354.00	...	-110.01	8 of 32 - Sale ²⁵
	100.000	244.99	11/27/20	354.00	...	-109.01	9 of 32 - Sale ²⁵
	100.000	244.99	11/27/20	344.96	...	-99.97	10 of 32 - Sale ²⁵
	100.000	245.99	11/27/20	344.96	...	-98.97	11 of 32 - Sale ²⁵
	100.000	245.99	11/27/20	344.96	...	-98.97	12 of 32 - Sale ²⁵

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Proceeds from Broker and Barter Exchange Transactions

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(continued)

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FREIGHTCAR AMERICA, INC. COMMO N STOCK / CUSIP: 357023100 / Symbol: (cont'd)							
	100.000	245.99	11/27/20	344.96	...	-98.97	13 of 32 - Sale ²⁵
	100.000	245.99	11/27/20	344.95	...	-98.96	14 of 32 - Sale ²⁵
	77.000	184.79	11/27/20	275.66	...	-90.87	15 of 32 - Sale ²⁵
	90.000	220.49	11/27/20	310.47	...	-89.98	16 of 32 - Sale ²⁵
	78.000	187.97	11/27/20	277.67	...	-89.70	17 of 32 - Sale ²⁵
	28.000	66.08	11/27/20	126.58	...	-60.50	18 of 32 - Sale ²⁵
	26.000	61.36	11/27/20	118.83	...	-57.47	19 of 32 - Sale ²⁵
	23.000	54.28	11/27/20	104.88	...	-50.60	20 of 32 - Sale ²⁵
	100.000	247.98	11/27/20	297.00	...	-49.02	21 of 32 - Sale ²⁵
	100.000	247.98	11/27/20	297.00	...	-49.02	22 of 32 - Sale ²⁵
	28.000	66.07	11/27/20	113.69	...	-47.62	23 of 32 - Sale ²⁵
	22.000	52.80	11/27/20	78.32	...	-25.52	24 of 32 - Sale ²⁵
	22.000	53.02	11/27/20	77.88	...	-24.86	25 of 32 - Sale ²⁵
	28.000	69.44	11/27/20	83.16	...	-13.72	26 of 32 - Sale ²⁵
	10.000	24.50	11/27/20	34.50	...	-10.00	27 of 32 - Sale ²⁵
	2.000	4.72	11/27/20	9.04	...	-4.32	28 of 32 - Sale ²⁵
	1.000	2.36	11/27/20	4.55	...	-2.19	29 of 32 - Sale ²⁵
	1.000	2.36	11/27/20	4.07	...	-1.71	30 of 32 - Sale ²⁵
	1.000	2.36	11/27/20	4.07	...	-1.71	31 of 32 - Sale ²⁵
	1.000	2.40	11/27/20	3.57	...	-1.17	32 of 32 - Sale ²⁵
11/30/20	2,383.000	5,744.91	Various	8,585.22	...	-2,840.31	Total of 32 transactions
	30 transactions for 11/30/20. Total proceeds and cost reported to the IRS.						
	1,022.000	2,411.74	11/27/20	3,035.24	474.03 W	-149.47	1 of 30 - Sale ²⁵
	191.000	473.64	11/27/20	567.27	13.73 W	-79.90	2 of 30 - Sale ²⁵
	100.000	247.99	11/27/20	297.00	49.01 W	0.00	3 of 30 - Sale ²⁵
	100.000	246.99	11/27/20	297.00	50.01 W	0.00	4 of 30 - Sale ²⁵
	100.000	245.99	11/27/20	297.00	51.01 W	0.00	5 of 30 - Sale ²⁵
	100.000	244.99	11/27/20	297.00	52.01 W	0.00	6 of 30 - Sale ²⁵
	1.000	2.44	11/27/20	2.97	0.53 W	0.00	7 of 30 - Sale ²⁵
	1.000	2.44	11/27/20	2.97	0.53 W	0.00	8 of 30 - Sale ²⁵
	70.000	170.79	11/27/20	207.90	37.11 W	0.00	9 of 30 - Sale ²⁵
	2.000	4.88	11/27/20	6.92	2.04 W	0.00	10 of 30 - Sale ²⁵
	28.000	68.32	11/27/20	96.89	28.57 W	0.00	11 of 30 - Sale ²⁵
	24.000	58.56	11/27/20	83.04	24.48 W	0.00	12 of 30 - Sale ²⁵

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(continued)

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FREIGHTCAR AMERICA, INC. COMMO N STOCK / CUSIP: 357023100 / Symbol: (cont'd)							
	26.000	63.43	11/27/20	90.22	26.79 W	0.00	13 of 30 - Sale ²⁵
	74.000	180.54	11/27/20	256.05	75.51 W	0.00	14 of 30 - Sale ²⁵
	2.000	4.88	11/27/20	7.98	3.10 W	0.00	15 of 30 - Sale ²⁵
	28.000	68.31	11/27/20	111.73	43.42 W	0.00	16 of 30 - Sale ²⁵
	74.000	180.55	11/27/20	256.78	76.23 W	0.00	17 of 30 - Sale ²⁵
	100.000	243.98	11/27/20	348.00	104.02 W	0.00	18 of 30 - Sale ²⁵
	72.000	175.67	11/27/20	251.28	75.61 W	0.00	19 of 30 - Sale ²⁵
	1.000	2.41	11/27/20	3.99	1.58 W	0.00	20 of 30 - Sale ²⁵
	23.000	55.20	11/27/20	91.77	36.57 W	0.00	21 of 30 - Sale ²⁵
	26.000	62.40	11/27/20	104.01	41.61 W	0.00	22 of 30 - Sale ²⁵
	74.000	177.59	11/27/20	295.28	117.69 W	0.00	23 of 30 - Sale ²⁵
	1.000	2.40	11/27/20	3.50	1.10 W	0.00	24 of 30 - Sale ²⁵
	1.000	2.40	11/27/20	3.50	1.10 W	0.00	25 of 30 - Sale ²⁵
	70.000	167.99	11/27/20	245.00	77.01 W	0.00	26 of 30 - Sale ²⁵
	28.000	67.19	11/27/20	97.72	30.53 W	0.00	27 of 30 - Sale ²⁵
	777.000	1,864.65	11/27/20	2,307.61	442.96 W	0.00	28 of 30 - Sale ²⁵
	100.000	237.99	11/27/20	296.99	59.00 W	0.00	29 of 30 - Sale ²⁵
	1.000	2.37	11/27/20	2.97	0.60 W	0.00	30 of 30 - Sale ²⁵
11/30/20	3,217.000	7,738.72	Various	9,965.58	1,997.49 W	-229.37	Total of 30 transactions
	Security total:	13,483.63		18,550.80	1,997.49 W	-3,069.68	
G1 THERAPEUTICS, INC. COMMON S TOCK / CUSIP: 3621LQ109 / Symbol:							
3 transactions for 12/02/20. Total proceeds and cost reported to the IRS.							
	48.000	905.25	11/30/20	849.04	...	56.21	1 of 3 - Sale ²⁵
	100.000	1,882.94	11/30/20	1,814.00	...	68.94	2 of 3 - Sale ²⁵
	600.000	11,315.67	11/30/20	10,884.00	...	431.67	3 of 3 - Sale ²⁵
12/02/20	748.000	14,103.86	Various	13,547.04	...	556.82	Total of 3 transactions
12/24/20	10.000	195.76	12/22/20	203.93	...	-8.17	Sale ²⁵
	Security total:	14,299.62		13,750.97	...	548.65	

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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
HERTZ GLOBAL HOLDINGS, INC. CO MMON STOCK / CUSIP: 42806J106 / Symbol:							
2 transactions for 08/11/20. Total proceeds and cost reported to the IRS.							
	90.000	149.61	08/11/20	166.48	16.87 W	0.00	1 of 2 - Sale ²⁵
	10.000	16.62	08/11/20	18.50	1.88 W	0.00	2 of 2 - Sale ²⁵
08/11/20	100.000	166.23	Various	184.98	18.75 W	0.00	Total of 2 transactions
13 transactions for 09/21/20. Total proceeds and cost reported to the IRS.							
	90.000	114.28	08/11/20	166.48	...	-52.20	1 of 13 - Sale ²⁵
	64.000	81.27	08/11/20	121.89	...	-40.62	2 of 13 - Sale ²⁵
	97.000	123.17	08/11/20	159.77	...	-36.60	3 of 13 - Sale ²⁵
	36.000	45.71	08/11/20	61.82	...	-16.11	4 of 13 - Sale ²⁵
	12.000	15.24	08/11/20	24.21	...	-8.97	5 of 13 - Sale ²⁵
	19.000	24.13	08/11/20	32.81	...	-8.68	6 of 13 - Sale ²⁵
	10.000	12.70	08/11/20	20.38	...	-7.68	7 of 13 - Sale ²⁵
	8.000	10.16	08/11/20	16.14	...	-5.98	8 of 13 - Sale ²⁵
	6.000	7.62	08/11/20	11.84	...	-4.22	9 of 13 - Sale ²⁵
	4.000	5.08	08/11/20	6.59	...	-1.51	10 of 13 - Sale ²⁵
	57.902	73.53	09/04/20	78.00	...	-4.47	11 of 13 - Sale ²⁵
	63.784	81.00	09/08/20	90.56	...	-9.56	12 of 13 - Sale ²⁵
	0.311	0.39	09/08/20	0.44	...	-0.05	13 of 13 - Sale ²⁵
09/21/20	467.997	594.28	Various	790.93	...	-196.65	Total of 13 transactions
	Security total:	760.51		975.91	18.75 W	-196.65	
HOMOLOGY MEDICINES, INC. COMMO N STOCK / CUSIP: 438083107 / Symbol:							
12/15/20	1,500.000	17,519.43	12/14/20	19,348.20	...	-1,828.77	Sale ²⁵
IDEANOMICS, INC. COMMON STOCK / CUSIP: 45166V106 / Symbol:							
9 transactions for 11/24/20. Total proceeds and cost reported to the IRS.							
	1,300.000	4,810.12	11/24/20	4,966.00	...	-155.88	1 of 9 - Sale ²⁵
	500.000	1,850.05	11/24/20	1,910.00	...	-59.95	2 of 9 - Sale ²⁵
	400.000	1,480.04	11/24/20	1,528.00	...	-47.96	3 of 9 - Sale ²⁵
	200.000	740.02	11/24/20	764.00	...	-23.98	4 of 9 - Sale ²⁵
	200.000	740.02	11/24/20	764.00	...	-23.98	5 of 9 - Sale ²⁵
	100.000	370.01	11/24/20	382.00	...	-11.99	6 of 9 - Sale ²⁵
	100.000	370.01	11/24/20	382.00	...	-11.99	7 of 9 - Sale ²⁵
	100.000	370.01	11/24/20	382.00	...	-11.99	8 of 9 - Sale ²⁵

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Robinhood Securities LLC

Account 717206015

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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IDEANOMICS, INC. COMMON STOCK / CUSIP: 45166V106 / Symbol: (cont'd)							
	100.000	370.01	11/24/20	381.89	...	-11.88	9 of 9 - Sale ²⁵
11/24/20	3,000.000	11,100.29	Various	11,459.89	...	-359.60	Total of 9 transactions
IMMUTEP LIMITED AMERICAN DEPOSITARY SHARES / CUSIP: 45257L108 / Symbol:							
12 transactions for 12/10/20. Total proceeds and cost reported to the IRS.							
	1.000	7.74	12/10/20	7.26	...	0.48	1 of 12 - Sale ²⁵
	5.000	38.70	12/10/20	36.30	...	2.40	2 of 12 - Sale ²⁵
	40.000	309.60	12/10/20	290.40	...	19.20	3 of 12 - Sale ²⁵
	100.000	773.13	12/10/20	725.99	...	47.14	4 of 12 - Sale ²⁵
	100.000	773.13	12/10/20	725.99	...	47.14	5 of 12 - Sale ²⁵
	149.000	1,153.21	12/10/20	1,081.72	...	71.49	6 of 12 - Sale ²⁵
	187.000	1,447.32	12/10/20	1,357.60	...	89.72	7 of 12 - Sale ²⁵
	206.000	1,592.32	12/10/20	1,495.54	...	96.78	8 of 12 - Sale ²⁵
	212.000	1,639.03	12/10/20	1,539.10	...	99.93	9 of 12 - Sale ²⁵
	300.000	2,318.90	12/10/20	2,177.97	...	140.93	10 of 12 - Sale ²⁵
	500.000	3,864.85	12/10/20	3,629.95	...	234.90	11 of 12 - Sale ²⁵
	500.000	3,869.85	12/10/20	3,629.95	...	239.90	12 of 12 - Sale ²⁵
12/10/20	2,300.000	17,787.78	Various	16,697.77	...	1,090.01	Total of 12 transactions
INVIVO THERAPEUTICS HOLDINGS CORP COMMON STOCK / CUSIP: 46186M506 / Symbol:							
12/07/20	1,400.000	853.11	12/02/20	901.74	...	-48.63	Sale ²⁵
MICROSOFT CORPORATION COMMON STOCK / CUSIP: 594918104 / Symbol:							
10/12/20	20.000	4,450.20	10/01/20	4,255.35	...	194.85	Sale ²⁵
NVIDIA CORPORATION COMMON STOCK / CUSIP: 67066G104 / Symbol:							
11/12/20	13.000	6,961.60	11/10/20	6,678.55	...	283.05	Sale ²⁵
PALANTIR TECHNOLOGIES INC. CLASS A COMMON STOCK / CUSIP: 69608A108 / Symbol:							
11/25/20	550.000	13,546.19	11/24/20	12,934.74	...	611.45	Sale ²⁵
PHOENIX TREE HOLDINGS LIMITED AMERICAN DEPOSITARY SHARES, EACH REPRESENTING TEN (10) CLASS / CUSIP: 719156101 / Symbol:							
20 transactions for 11/18/20. Total proceeds and cost reported to the IRS.							
	35.000	146.29	11/18/20	118.65	...	27.64	1 of 20 - Sale ²⁵
	35.000	146.29	11/18/20	118.65	...	27.64	2 of 20 - Sale ²⁵

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Robinhood Securities LLC

Account 717206015

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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PHOENIX TREE HOLDINGS LIMITED AMERICAN DEPOSITARY SHARES, EA CH REPRESENTING TEN (10) CLASS / CUSIP: 719156101 / Symbol: (cont'd)							
	35.000	146.64	11/18/20	118.65	...	27.99	3 of 20 - Sale ²⁵
	35.000	146.64	11/18/20	118.65	...	27.99	4 of 20 - Sale ²⁵
	65.000	271.68	11/18/20	220.35	...	51.33	5 of 20 - Sale ²⁵
	65.000	271.69	11/18/20	220.35	...	51.34	6 of 20 - Sale ²⁵
	65.000	271.69	11/18/20	220.35	...	51.34	7 of 20 - Sale ²⁵
	100.000	417.98	11/18/20	339.00	...	78.98	8 of 20 - Sale ²⁵
	100.000	418.98	11/18/20	339.00	...	79.98	9 of 20 - Sale ²⁵
	100.000	418.98	11/18/20	338.00	...	80.98	10 of 20 - Sale ²⁵
	135.000	564.27	11/18/20	457.65	...	106.62	11 of 20 - Sale ²⁵
	165.000	691.31	11/18/20	559.35	...	131.96	12 of 20 - Sale ²⁵
	200.000	835.95	11/18/20	678.00	...	157.95	13 of 20 - Sale ²⁵
	200.000	835.96	11/18/20	678.00	...	157.96	14 of 20 - Sale ²⁵
	200.000	835.96	11/18/20	678.00	...	157.96	15 of 20 - Sale ²⁵
	235.000	982.25	11/18/20	796.65	...	185.60	16 of 20 - Sale ²⁵
	265.000	1,107.64	11/18/20	898.35	...	209.29	17 of 20 - Sale ²⁵
	265.000	1,110.29	11/18/20	898.35	...	211.94	18 of 20 - Sale ²⁵
	300.000	1,256.93	11/18/20	1,014.00	...	242.93	19 of 20 - Sale ²⁵
	400.000	1,671.91	11/18/20	1,356.00	...	315.91	20 of 20 - Sale ²⁵
11/18/20	3,000.000	12,549.33	Various	10,166.00	...	2,383.33	Total of 20 transactions
	16 transactions for 11/23/20. Total proceeds and cost reported to the IRS.						
	1,300.000	4,822.74	11/19/20	5,108.87	...	-286.13	1 of 16 - Sale ²⁵
	200.000	741.96	11/19/20	785.98	...	-44.02	2 of 16 - Sale ²⁵
	200.000	741.96	11/19/20	785.98	...	-44.02	3 of 16 - Sale ²⁵
	200.000	741.96	11/19/20	785.98	...	-44.02	4 of 16 - Sale ²⁵
	132.000	489.69	11/19/20	518.75	...	-29.06	5 of 16 - Sale ²⁵
	18.000	66.78	11/20/20	65.24	...	1.54	6 of 16 - Sale ²⁵
	20.000	74.20	11/20/20	72.59	...	1.61	7 of 16 - Sale ²⁵
	20.000	74.20	11/20/20	72.59	...	1.61	8 of 16 - Sale ²⁵
	20.000	74.20	11/20/20	72.48	...	1.72	9 of 16 - Sale ²⁵
	22.000	81.62	11/20/20	79.84	...	1.78	10 of 16 - Sale ²⁵
	80.000	296.79	11/20/20	290.34	...	6.45	11 of 16 - Sale ²⁵
	80.000	296.79	11/20/20	290.34	...	6.45	12 of 16 - Sale ²⁵
	82.000	304.21	11/20/20	297.62	...	6.59	13 of 16 - Sale ²⁵
	68.000	252.27	11/20/20	243.10	...	9.17	14 of 16 - Sale ²⁵

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Robinhood Securities LLC

Account 717206015

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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PHOENIX TREE HOLDINGS LIMITED AMERICAN DEPOSITARY SHARES, EA CH REPRESENTING TEN (10) CLASS / CUSIP: 719156101 / Symbol: (cont'd)							
	82.000	304.21	11/20/20	293.16	...	11.05	15 of 16 - Sale ²⁵
	158.000	586.14	11/20/20	573.45	...	12.69	16 of 16 - Sale ²⁵
11/23/20	2,682.000	9,949.72	Various	10,336.31	...	-386.59	Total of 16 transactions
	5 transactions for 11/23/20. Total proceeds and cost reported to the IRS.						
	758.000	2,812.02	11/19/20	2,978.86	52.83 W	-114.01	1 of 5 - Sale ²⁵
	188.000	698.38	11/19/20	738.82	40.44 W	0.00	2 of 5 - Sale ²⁵
	100.000	370.99	11/19/20	392.99	22.00 W	0.00	3 of 5 - Sale ²⁵
	100.000	370.99	11/19/20	392.99	22.00 W	0.00	4 of 5 - Sale ²⁵
	22.000	81.62	11/19/20	86.46	4.84 W	0.00	5 of 5 - Sale ²⁵
11/23/20	1,168.000	4,334.00	Various	4,590.12	142.11 W	-114.01	Total of 5 transactions
	Security total:	26,833.05		25,092.43	142.11 W	1,882.73	
TESLA, INC. COMMON STOCK / CUSIP: 88160R101 / Symbol:							
	2 transactions for 09/22/20. Total proceeds and cost reported to the IRS.						
	0.097	40.54	09/02/20	42.69	...	-2.15	1 of 2 - Sale ²⁵
	4.687	1,968.51	09/08/20	1,671.49	...	297.02	2 of 2 - Sale ²⁵
09/22/20	4.784	2,009.05	Various	1,714.18	...	294.87	Total of 2 transactions
	2 transactions for 09/22/20. Total proceeds and cost reported to the IRS.						
	9.000	3,779.90	09/02/20	3,980.57	2.15 W	-198.52	1 of 2 - Sale ²⁵
	0.216	90.92	09/02/20	95.74	4.82 W	0.00	2 of 2 - Sale ²⁵
09/22/20	9.216	3,870.82	Various	4,076.31	6.97 W	-198.52	Total of 2 transactions
	2 transactions for 10/02/20. Total proceeds and cost reported to the IRS.						
	0.096	42.01	09/08/20	36.56	...	5.45	1 of 2 - Sale ²⁵
	0.216	94.27	09/08/20	82.02	...	12.25	2 of 2 - Sale ²⁵
10/02/20	0.313	136.28	Various	118.58	...	17.70	Total of 2 transactions
	Security total:	6,016.15		5,909.07	6.97 W	114.05	
VBI VACCINES, INC. NEW COMMON STOCK (CANADA) / CUSIP: 91822J103 / Symbol:							
05/14/20	100.000	194.49	01/13/20	172.00	...	22.49	Sale ²⁵

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Account 717206015

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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VERU INC. COMMON STOCK / CUSIP: 92536C103 / Symbol:							
6 transactions for 12/10/20. Total proceeds and cost reported to the IRS.							
	4.000	25.96	12/10/20	23.80	...	2.16	1 of 6 - Sale ²⁵
	15.000	97.35	12/10/20	89.25	...	8.10	2 of 6 - Sale ²⁵
	30.000	194.70	12/10/20	178.50	...	16.20	3 of 6 - Sale ²⁵
	47.000	305.02	12/10/20	279.65	...	25.37	4 of 6 - Sale ²⁵
	306.000	1,985.89	12/10/20	1,820.70	...	165.19	5 of 6 - Sale ²⁵
	2,498.000	16,211.61	12/10/20	14,863.10	...	1,348.51	6 of 6 - Sale ²⁵
12/10/20	2,900.000	18,820.53	Various	17,255.00	...	1,565.53	Total of 6 transactions
10 transactions for 12/11/20. Total proceeds and cost reported to the IRS.							
	100.000	615.97	12/10/20	595.00	...	20.97	1 of 10 - Sale ²⁵
	100.000	616.47	12/10/20	595.00	...	21.47	2 of 10 - Sale ²⁵
	100.000	616.47	12/10/20	595.00	...	21.47	3 of 10 - Sale ²⁵
	115.000	708.37	12/10/20	684.25	...	24.12	4 of 10 - Sale ²⁵
	285.000	1,755.53	12/10/20	1,695.75	...	59.78	5 of 10 - Sale ²⁵
	300.000	1,849.42	12/10/20	1,785.00	...	64.42	6 of 10 - Sale ²⁵
	500.000	3,079.87	12/10/20	2,975.00	...	104.87	7 of 10 - Sale ²⁵
	500.000	3,079.87	12/10/20	2,975.00	...	104.87	8 of 10 - Sale ²⁵
	500.000	3,084.87	12/10/20	2,975.00	...	109.87	9 of 10 - Sale ²⁵
	800.000	4,927.79	12/10/20	4,760.00	...	167.79	10 of 10 - Sale ²⁵
12/11/20	3,300.000	20,334.63	Various	19,635.00	...	699.63	Total of 10 transactions
	Security total:	39,155.16		36,890.00	...	2,265.16	
VIVINT SOLAR, INC. / CUSIP: 92854Q106 / Symbol:							
10/07/20	30.000	1,337.83	10/01/20	1,336.80	...	1.03	Sale ²⁵
WASHINGTON PRIME GROUP INC. / CUSIP: 93964W108 / Symbol:							
09/17/20	1.000	0.69	01/13/20	3.63	...	-2.94	Sale ²⁵
WESTWATER RESOURCES, INC. COMM ON STOCK / CUSIP: 961684206 / Symbol:							
2 transactions for 10/01/20. Total proceeds and cost reported to the IRS.							
	100.000	304.12	10/01/20	322.89	...	-18.77	1 of 2 - Sale ²⁵
	80.000	243.29	10/01/20	258.31	...	-15.02	2 of 2 - Sale ²⁵
10/01/20	180.000	547.41	Various	581.20	...	-33.79	Total of 2 transactions
10/01/20	500.000	1,385.30	10/01/20	1,474.75	56.35 W	-33.10	Sale ²⁵

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Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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WESTWATER RESOURCES, INC. COMM ON STOCK / CUSIP: 961684206 / Symbol: (cont'd)							
3 transactions for 10/05/20. Total proceeds and cost reported to the IRS.							
	20.000	111.80	10/02/20	109.12	...	2.68	1 of 3 - Sale ²⁵
	30.000	167.70	10/02/20	161.89	...	5.81	2 of 3 - Sale ²⁵
	85.000	474.29	10/02/20	463.77	...	10.52	3 of 3 - Sale ²⁵
10/05/20	135.000	753.79	Various	734.78	...	19.01	Total of 3 transactions
	Security total:	2,686.50		2,790.73	56.35 W	-47.88	
YUNJI INC. AMERICAN DEPOSITORY SHARES / CUSIP: 98873N107 / Symbol:							
4 transactions for 11/24/20. Total proceeds and cost reported to the IRS.							
	100.000	367.99	11/24/20	344.00	...	23.99	1 of 4 - Sale ²⁵
	200.000	735.98	11/24/20	688.00	...	47.98	2 of 4 - Sale ²⁵
	1,300.000	4,783.87	11/24/20	4,485.00	...	298.87	3 of 4 - Sale ²⁵
	1,900.000	6,991.81	11/24/20	6,536.00	...	455.81	4 of 4 - Sale ²⁵
11/24/20	3,500.000	12,879.65	Various	12,053.00	...	826.65	Total of 4 transactions
ASIA PACIFIC WIRE & CABLE CORP ORATION, LTD. ORDINARY SHARES (BERMUDA) / CUSIP: G0535E106 / Symbol:							
20 transactions for 11/17/20. Total proceeds and cost reported to the IRS.							
	10.000	23.00	11/13/20	22.30	...	0.70	1 of 20 - Sale ²⁵
	33.000	75.89	11/13/20	73.59	...	2.30	2 of 20 - Sale ²⁵
	47.000	108.09	11/13/20	104.81	...	3.28	3 of 20 - Sale ²⁵
	100.000	229.98	11/13/20	224.00	...	5.98	4 of 20 - Sale ²⁵
	95.000	218.49	11/13/20	212.37	...	6.12	5 of 20 - Sale ²⁵
	100.000	229.98	11/13/20	223.00	...	6.98	6 of 20 - Sale ²⁵
	100.000	229.98	11/13/20	223.00	...	6.98	7 of 20 - Sale ²⁵
	100.000	229.98	11/13/20	223.00	...	6.98	8 of 20 - Sale ²⁵
	100.000	229.98	11/13/20	223.00	...	6.98	9 of 20 - Sale ²⁵
	100.000	229.98	11/13/20	223.00	...	6.98	10 of 20 - Sale ²⁵
	100.000	229.98	11/13/20	223.00	...	6.98	11 of 20 - Sale ²⁵
	40.000	91.99	11/13/20	80.40	...	11.59	12 of 20 - Sale ²⁵
	200.000	459.97	11/13/20	448.00	...	11.97	13 of 20 - Sale ²⁵
	400.000	919.93	11/13/20	892.00	...	27.93	14 of 20 - Sale ²⁵
	200.000	459.97	11/13/20	429.90	...	30.07	15 of 20 - Sale ²⁵
	500.000	1,149.92	11/13/20	1,115.00	...	34.92	16 of 20 - Sale ²⁵
	515.000	1,184.42	11/13/20	1,148.45	...	35.97	17 of 20 - Sale ²⁵

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

Robinhood Securities LLC

Account 717206015

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
ASIA PACIFIC WIRE & CABLE CORP ORATION, LTD. ORDINARY SHARES (BERMUDA) / CUSIP: G0535E106 / Symbol: (cont'd)							
	900.000	2,069.85	11/13/20	2,007.00	...	62.85	18 of 20 - Sale ²⁵
	1,100.000	2,529.81	11/13/20	2,453.00	...	76.81	19 of 20 - Sale ²⁵
	5.000	11.50	11/16/20	9.15	...	2.35	20 of 20 - Sale ²⁵
11/17/20	4,745.000	10,912.69	Various	10,557.97	...	354.72	Total of 20 transactions
VALARIS PLC ORDINARY SHARES / CUSIP: G9402V109 / Symbol:							
08/11/20	60.000	26.06	08/04/20	24.00	...	2.06	Sale ²⁵
NAKED BRAND GROUP LIMITED ORDINARY SHARES / CUSIP: Q6519T117 / Symbol:							
8 transactions for 11/20/20. Total proceeds and cost reported to the IRS.							
	600.000	143.92	11/19/20	173.64	...	-29.72	1 of 8 - Sale ²⁵
	400.000	95.95	11/19/20	115.76	...	-19.81	2 of 8 - Sale ²⁵
	400.000	95.95	11/19/20	115.76	...	-19.81	3 of 8 - Sale ²⁵
	200.000	47.97	11/19/20	57.88	...	-9.91	4 of 8 - Sale ²⁵
	200.000	47.97	11/19/20	57.88	...	-9.91	5 of 8 - Sale ²⁵
	200.000	47.98	11/19/20	57.88	...	-9.90	6 of 8 - Sale ²⁵
	100.000	23.99	11/19/20	28.94	...	-4.95	7 of 8 - Sale ²⁵
	100.000	23.99	11/19/20	28.94	...	-4.95	8 of 8 - Sale ²⁵
11/20/20	2,200.000	527.72	Various	636.68	...	-108.96	Total of 8 transactions
TOP SHIPS, INC. COMMON STOCK / CUSIP: Y8897Y180 / Symbol:							
5 transactions for 11/10/20. Total proceeds and cost reported to the IRS.							
	700.000	813.72	09/09/20	819.00	...	-5.28	1 of 5 - Sale ²⁵
	41.374	48.09	09/09/20	50.00	...	-1.91	2 of 5 - Sale ²⁵
	0.061	0.07	09/21/20	0.07	...	0.00	3 of 5 - Sale ²⁵
	142.000	165.07	09/21/20	164.01	...	1.06	4 of 5 - Sale ²⁵
	188.566	219.20	10/16/20	217.79	...	1.41	5 of 5 - Sale ²⁵
11/10/20	1,072.000	1,246.15	Various	1,250.87	...	-4.72	Total of 5 transactions
5 transactions for 11/10/20. Total proceeds and cost reported to the IRS.							
	200.000	232.49	06/08/20	975.50	743.01 W	0.00	1 of 5 - Sale ²⁵
	40.000	46.50	06/09/20	197.00	150.50 W	0.00	2 of 5 - Sale ²⁵
	280.000	325.49	08/05/20	745.50	420.01 W	0.00	3 of 5 - Sale ²⁵
	108.000	125.54	08/07/20	243.27	117.73 W	0.00	4 of 5 - Sale ²⁵

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Robinhood Securities LLC

Account 717206015

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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

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

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

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	7- Loss not allowed (X) also not reported (Z)	Gain or loss(-) & Additional information
TOP SHIPS, INC. COMMON STOCK / CUSIP: Y8897Y180 / Symbol: (cont'd)							
11/10/20	300.000	348.73	09/09/20	351.00	1.39 W	-0.88	5 of 5 - Sale ²⁵
	928.000	1,078.75	Various	2,512.27	1,432.64 W	-0.88	Total of 5 transactions
	5 transactions for 11/11/20. Total proceeds and cost reported to the IRS.						
	200.000	224.63	10/16/20	974.01	...	-749.38	1 of 5 - Sale ²⁵
	280.000	314.48	10/16/20	743.41	...	-428.93	2 of 5 - Sale ²⁵
	40.000	44.93	10/16/20	196.70	...	-151.77	3 of 5 - Sale ²⁵
	108.000	121.30	10/16/20	242.47	...	-121.17	4 of 5 - Sale ²⁵
	183.434	206.01	10/16/20	213.26	...	-7.25	5 of 5 - Sale ²⁵
11/11/20	811.434	911.35	Various	2,369.85	...	-1,458.50	Total of 5 transactions
	Security total:	3,236.25		6,132.99	1,432.64 W	-1,464.10	
Totals :		319,452.15		322,065.18	6,983.98 W	4,370.95	

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Robinhood Securities LLC

Account 717206015

Detail for Dividends and Distributions

2020

02/14/2021

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

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

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

Security description	CUSIP and/or symbol	State	Date	Amount	Transaction type	Notes
WASHINGTON PRIME GROUP INC.	93964W108		03/16/20	0.13	Section 199A dividend	03
				0.13	Total Dividends & distributions	

Robinhood Securities LLC

Account 717206015

Fees and Expenses

2020

02/14/2021

This section of your tax information statement may contain the detail of fees and investment expenses that are not accounted for in amounts reportable to the IRS on the various Forms 1099. You may wish to consult with your tax advisor, the IRS or your state tax authority regarding the proper treatment.

These amounts are provided here to facilitate an accounting of all amounts received during the year and are totaled in the Reconciliations, Fees, Expenses and Expenditures found in the Summary Information at the beginning of the statement.

Description	CUSIP and/or symbol	Date	Amount	Transaction type	Notes
		10/02/20	-5.00	Margin interest paid	
		11/02/20	-5.00	Margin interest paid	
		12/01/20	-5.00	Margin interest paid	
			-15.00	Total Margin interest paid	
			-15.00	Total Margin interest paid	

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

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

Common Instructions for Recipient

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Instructions for Recipient

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

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

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

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

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

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

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

1099-B Instructions for Recipient

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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