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|---|--|--|------|
| 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 168220291 | Statement Date: 02/06/2020 Document ID: NR61 179 NRPR | 2019 |
| | Avishek Mallik 9525 Genesee Avenue 216 San Diego, CA 92121 RECIPIENT'S TIN: XXX-XX-0670 | | |

Summary Information

| | |
|--|--|
| <p>DIVIDENDS AND DISTRIBUTIONS 2019 1099-DIV* OMB No. 1545-0110</p> <p>1a- Total ordinary dividends (includes lines 1b, 5) 16.51</p> <p>1b- Qualified dividends 16.51</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>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 style="text-align: center;">MISCELLANEOUS INCOME 2019 1099-MISC* OMB No. 1545-0115</p> <p>2- Royalties 0.00</p> <p>3- Other income 9.45</p> <p>4- Federal income tax withheld 0.00</p> <p>8- Substitute payments in lieu of dividends or interest 0.00</p> <p style="text-align: center;">SECTION 1256 CONTRACTS 2019 1099-B* OMB No. 1545-0715</p> <p>8- Profit or (loss) realized in 2019 on closed contracts 0.00</p> <p>9- Unrealized profit or (loss) on open contracts-12/31/2018 0.00</p> <p>10- Unrealized profit or (loss) on open contracts-12/31/2019 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> |
|--|--|

* 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.

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) | 4,999.68 | 4,412.69 | 0.00 | 0.00 | 586.99 |
| 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) | 4.04 | 4.22 | 0.00 | 0.00 | -0.18 |
| | Total Short-term | 5,003.72 | 4,416.91 | 0.00 | 0.00 | 586.81 |
| Long | D (basis reported to the IRS) | 214.51 | 247.00 | 0.00 | 0.00 | -32.49 |
| 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 | 214.51 | 247.00 | 0.00 | 0.00 | -32.49 |
| 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 | 5,218.23 | 4,663.91 | 0.00 | 0.00 | 554.32 |
| Withholding | | Amount | | | | |
| | Federal income tax withheld | 0.00 | | | | |

Changes to dividend tax classifications processed after your original tax form is issued for 2019 may require an amended tax form.

Robinhood Securities LLC

Account 168220291

Summary Information

2019

(continued)

02/06/2020

INTEREST INCOME

2019 1099-INT

OMB No. 1545-0112

This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.

| | |
|--|-------------|
| 1- Interest income (not included in line 3) | 0.00 |
| 2- Early withdrawal penalty | 0.00 |
| 3- Interest on US Savings Bonds & Treasury obligations | 0.00 |
| 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 2019 | 0.00 |
| Acquisition premium (covered lots) | 0.00 |
| Acquisition premium (noncovered lots) | 0.00 |
| Original issue discount on Treasury obligations | 0.00 |
| Acquisition premium, Treasury obligations (covered lots) | 0.00 |
| Acquisition premium, Treasury obligations (noncovered lots) | 0.00 |
| Tax-exempt OID | 0.00 |
| Tax-exempt OID (lots not reported) | 0.00 |
| Acquisition premium (covered) | 0.00 |
| Acquisition premium (lots not reported) | 0.00 |
| Tax-exempt OID on private activity bonds | 0.00 |
| Tax-exempt OID on private activity bonds (lots not reported) | 0.00 |
| Acquisition premium (AMT, covered) | 0.00 |
| Acquisition premium (AMT, lots not reported) | 0.00 |
| Market discount (all lots) | 0.00 |
| Early withdrawal penalty | 0.00 |
| Investment expenses | 0.00 |

RECONCILIATIONS, FEES, EXPENSES AND EXPENDITURES

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

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

Robinhood Securities LLC

Account 168220291

Proceeds from Broker and Barter Exchange Transactions

2019 1099-B* OMB No. 1545-0715

02/06/2020

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 other 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 |
|---|------------------------|---|-------------------|-------------------------|--|---|-----------------------------|
| ADVANCED MICRO DEVICES, INC. C OMMON STOCK / CUSIP: 007903107 / Symbol: | | | | | | | |
| 3 transactions for 08/12/19. Total proceeds and cost reported to the IRS. | | | | | | | |
| | 10.000 | 341.49 | 09/24/18 | 326.50 | ... | 14.99 | 1 of 3 - Sale ²⁵ |
| | 15.000 | 512.23 | 10/02/18 | 433.20 | ... | 79.03 | 2 of 3 - Sale ²⁵ |
| | 23.000 | 785.43 | 02/01/19 | 568.56 | ... | 216.87 | 3 of 3 - Sale ²⁵ |
| 08/12/19 | 48.000 | 1,639.15 | Various | 1,328.26 | ... | 310.89 | Total of 3 transactions |
| 11/11/19 | 17.000 | 618.94 | 08/14/19 | 508.30 | ... | 110.64 | Sale ²⁵ |
| 11/13/19 | 20.000 | 751.07 | 08/14/19 | 598.00 | ... | 153.07 | Sale ²⁵ |
| | Security total: | 3,009.16 | | 2,434.56 | ... | 574.60 | |

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Robinhood Securities LLC

Account 168220291

Proceeds from Broker and Barter Exchange Transactions

2019 1099-B* OMB No. 1545-0715

(continued)

02/06/2020

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 |
|---|------------------------|---|-------------------|-------------------------|--|---|-----------------------------|
| ERICSSON AMERICAN DEPOSITARY S HARES / CUSIP: 294821608 / Symbol: | | | | | | | |
| 2 transactions for 01/25/19. Total proceeds and cost reported to the IRS. | | | | | | | |
| | 7.000 | 62.51 | 09/28/18 | 61.95 | ... | 0.56 | 1 of 2 - Sale ²⁵ |
| | 30.000 | 267.88 | 09/28/18 | 265.50 | ... | 2.38 | 2 of 2 - Sale ²⁵ |
| 01/25/19 | 37.000 | 330.39 | Various | 327.45 | ... | 2.94 | Total of 2 transactions |
| GENERAL ELECTRIC COMPANY / CUSIP: 369604103 / Symbol: | | | | | | | |
| 11/13/19 | 10.000 | 113.04 | 08/22/19 | 82.70 | ... | 30.34 | Sale ²⁵ |
| HP INC. / CUSIP: 40434L105 / Symbol: | | | | | | | |
| 12/05/19 | 32.000 | 649.42 | 08/06/19 | 613.60 | ... | 35.82 | Sale ²⁵ |
| SIRIUS XM HOLDINGS INC. COMMON STOCK / CUSIP: 82968B103 / Symbol: | | | | | | | |
| 04/23/19 | 15.000 | 91.48 | 09/24/18 | 95.25 | ... | -3.77 | Sale ²⁵ |
| SPRINT CORPORATION / CUSIP: 85207U105 / Symbol: | | | | | | | |
| 01/25/19 | 15.000 | 93.73 | 09/24/18 | 95.85 | ... | -2.12 | Sale ²⁵ |
| 12/10/19 | 100.000 | 533.98 | 11/11/19 | 591.50 | ... | -57.52 | Sale ²⁵ |
| | Security total: | 627.71 | | 687.35 | ... | -59.64 | |
| ZYNGA INC. CLASS A COMMON STOCK / CUSIP: 98986T108 / Symbol: | | | | | | | |
| 01/24/19 | 42.000 | 178.48 | 10/04/18 | 171.78 | ... | 6.70 | Sale ²⁵ |
| Totals : | | 4,999.68 | | 4,412.69 | | 586.99 | |

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

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

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

1a- Description of property/CUSIP/Symbol

| 1c- Date sold or disposed | Quantity | 1d- Proceeds & 6- Reported (G)ross or (N)et | 1b- Date acquired | 1e- Cost or other basis | 1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W) | Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z) | Additional information |
|---|----------|---|-------------------|-------------------------|--|---|------------------------|
| GENERAL ELECTRIC COMPANY / CUSIP: 369604103 / Symbol: | | | | | | | |
| 11/13/19 | 10.000 | 113.04 | 09/24/18 | 117.00 | ... | -3.96 | Sale ²⁵ |

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Robinhood Securities LLC

Account 168220291

Proceeds from Broker and Barter Exchange Transactions

2019 1099-B* OMB No. 1545-0715

(continued)

02/06/2020

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

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

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

1a- Description of property/CUSIP/Symbol

| 1c- Date sold or disposed | Quantity | 1d- Proceeds & 6- Reported (G)ross or (N)et | 1b- Date acquired | 1e- Cost or other basis | 1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W) | 7- Loss not allowed (X) also not reported (Z) | Gain or loss(-) & Additional information |
|--------------------------------------|-----------------|--|--------------------------|--------------------------------|---|--|---|
| HP INC. / CUSIP: 40434L105 / Symbol: | | | | | | | |
| 12/05/19 | 5.000 | 101.47 | 09/24/18 | 130.00 | ... | -28.53 | Sale ²⁵ |
| Totals : | | 214.51 | | 247.00 | | -32.49 | |

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Robinhood Securities LLC

Account 168220291

Proceeds Not Reported to the IRS

2019

02/06/2020

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

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

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

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

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

Description of property

| Date sold or disposed | Quantity | Proceeds & Reported (G)ross or (N)et | Date acquired | Cost or other basis | Accrued mkt disc (D) & Wash sale loss disallowed (W) | Gain or loss(-) & Loss not allowed (X) also not reported (Z) | Additional information |
|--|----------|--------------------------------------|---------------|---------------------|--|--|------------------------|
| WABTEC INC. / CUSIP: 929740108 / Symbol: 03/07/19 | 0.054 | 4.04 | 02/26/19 | 4.22 | ... | -0.18 | Gain or loss |
| Totals: | | 4.04 | | 4.22 | ... | -0.18 | |

Robinhood Securities LLC

Account 168220291

Detail for Dividends and Distributions

2019

02/06/2020

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 |
|--|---------------------|-------|----------|--------------|--|-------|
| CISCO SYSTEMS, INC. COMMON STO CK | 17275R102 | | 10/23/19 | 6.65 | Qualified dividend | |
| FORD MOTOR COMPANY | 345370860 | | 12/02/19 | 0.15 | Qualified dividend | |
| GENERAL ELECTRIC COMPANY | 369604103 | | 01/25/19 | 0.10 | Qualified dividend | |
| | | | 04/25/19 | 0.10 | Qualified dividend | |
| | | | 07/25/19 | 0.10 | Qualified dividend | |
| | | | 10/25/19 | 0.20 | Qualified dividend | |
| | | | | 0.50 | Total Dividends & distributions | |
| HP INC. | 40434L105 | | 01/02/19 | 0.80 | Qualified dividend | |
| | | | 04/03/19 | 0.80 | Qualified dividend | |
| | | | 07/03/19 | 0.80 | Qualified dividend | |
| | | | 10/02/19 | 5.93 | Qualified dividend | |
| | | | | 8.33 | Total Dividends & distributions | |
| NATURAL GROCERS BY VITAMIN COT TAGE, INC | 63888U108 | | 12/17/19 | 0.70 | Qualified dividend | |
| SIRIUS XM HOLDINGS INC. COMMON STOCK | 82968B103 | | 02/28/19 | 0.18 | Qualified dividend | |
| | | | | 16.51 | Total Dividends & distributions | |

Robinhood Securities LLC

Account 168220291

Detail for Miscellaneous Income

2019

02/06/2020

| <u>Security description</u> | <u>CUSIP and/or symbol</u> | <u>Date</u> | <u>Amount</u> | <u>Transaction type</u> | <u>Notes</u> |
|-----------------------------|----------------------------|-------------|---------------|-----------------------------------|--------------|
| FORD MOTOR COMPANY | 345370860 | 08/21/19 | 9.45 | Other income | |
| | | | 9.45 | Total Miscellaneous income | |

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

Instructions for Recipient

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 2019 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

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

Line 1b. Shows the portion of the amount on line 1a that may be eligible for reduced capital gains rates. See the Form 1040 instructions 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 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). But, if no amount is shown on lines 2c-2d and your only capital gains and losses are capital gain distributions, you may be able to report the amounts shown on line 2a on your Form 1040 rather than Schedule D. See the Form 1040 instructions.

Line 2b. Shows the portion of the amount on 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).

Line 2c. Shows the portion of the amount on 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) 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).

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. See "Backup Withholding" section.

Line 5. Shows the portion of the amount in box 1a that may be eligible for the 20% qualified business income deduction under section 199A. See the Instructions for Form 1040.

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

Line 7. Shows the foreign tax that you may be able to claim as a deduction or a credit on Form 1040. See the Form 1040 instructions.

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

Line 9 and 10. Shows 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 Form 1040 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 on line 11. See the instructions for Form 6251.

Lines 13-15. State income tax withheld reporting lines.

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.

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

Applicable check box on Form 8949. Indicates where to report this transaction on Form 8949 and Schedule D, and which check box is applicable. See the instructions for your Schedule D and/or Form 8949.

Column 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).

Column 1b. The column 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.

Column 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.

Column 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 column does not include proceeds from regulated futures contracts or Section 1256 option contracts. Report this amount on Form 8949 or on Schedule D (whichever is applicable) as explained in the Instructions for Schedule D.

Column 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 "NONCOVERED" appears on line 5, this column may be blank. See the Instructions for Form 8949, Instructions for Schedule D, or Pub. 550 for details.

Column 1f. Shows the amount of accrued market discount. For details on market discount, see Schedule D (Form 1040) instructions, Instructions for Form 8949, and Pub. 550. If "NONCOVERED" appears on line 5, this column may be blank.

Column 1g. Shows the amount of nondeductible loss in a wash sale transaction. For details on wash sales, see Schedule D (Form 1040) instructions, Instructions for Form 8949, and Pub. 550. If "NONCOVERED" appears on line 5, this column 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, line 2 may be blank.

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

Line 4. See "Backup Withholding" section.

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.

Column 6. If the exercise of a non-compensatory option resulted in a sale of a security, indicates whether the amount in column 1d was adjusted for premium.

Column 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 column 1d.

See the Form 8949 and Schedule D instructions. The broker should advise you of any losses on a separate statement.

Line 12. If checked, the basis on line 1e has been reported to the IRS and either the short-term or the long-term gain or loss on line 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 as you may be able to report your transaction directly on Schedule D. If the Ordinary box in box 2 is checked, an adjustment may be required.

Box 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. State income tax withheld reporting lines.

1099-MISC Instructions for Recipient

Line 2. Report royalties from oil, gas, or mineral properties, copyrights, and patents on Schedule E (Form 1040). However, report payments for a working interest as explained in the box 7 instructions. For royalties on timber, coal, and iron ore, see Pub. 544.

Line 3. Generally, report this amount on the "Other income" line on Form 1040 (or Form 1040NR) and identify the payment. The amount shown may be payments received as the beneficiary of a deceased employee, prizes, awards, taxable damages, Indian gaming profits, or other taxable income. See Pub. 525. If it is trade or business income, report this amount on Schedule C or F (Form 1040).

Line 4. See "Backup Withholding" section.

Line 8. Shows substitute payments in lieu of dividends or tax-exempt interest received by your broker on your behalf as a result of a loan of your securities. Report on the "Other income" line of Schedule 1 (Form 1040) (or Form 1040NR).

Lines 16-18. Show state or local income tax withheld from the payments.

1099-MISC Instructions for Recipient

Line 2. Report royalties from oil, gas, or mineral properties, copyrights, and patents on Schedule E (Form 1040). However, report payments for a working interest as explained in the box 7 instructions. For royalties on timber, coal, and iron ore, see Pub. 544.

Line 3. Generally, report this amount on the "Other income" line on Form 1040 (or Form 1040NR) and identify the payment. The amount shown may be payments received as the beneficiary of a deceased employee, prizes, awards, taxable damages, Indian gaming profits, or other taxable income. See Pub. 525. If it is trade or business income, report this amount on Schedule C or F (Form 1040).

Line 4. See "Backup Withholding" section.

Line 8. Shows substitute payments in lieu of dividends or tax-exempt interest received by your broker on your behalf as a result of a loan of your securities. Report on the "Other income" line of Schedule 1 (Form 1040) (or Form 1040NR).

Lines 16-18. Show state or local income tax withheld from the payments.