

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 774158042	Statement Date: 02/14/2021 Document ID: 08U8 11K 85V0	2020
	Rojin Vijayarajan 555 West Madison Street 3101 Chicago, IL 60661 RECIPIENT'S TIN: XXX-XX-9870		

Summary Information

DIVIDENDS AND DISTRIBUTIONS	2020 1099-DIV*	OMB No. 1545-0110	MISCELLANEOUS INCOME	2020 1099-MISC*	OMB No. 1545-0115
1a- Total ordinary dividends (includes lines 1b, 5)	0.00		2- Royalties	0.00	
1b- Qualified dividends	0.00		3- Other income	0.00	
2a- Total capital gain distributions (includes lines 2b, 2c, 2d)	0.00		4- Federal income tax withheld	0.00	
2b- Unrecaptured Section 1250 gain	0.00		8- Substitute payments in lieu of dividends or interest	0.00	
2c- Section 1202 gain	0.00				
2d- Collectibles (28%) gain	0.00		SECTION 1256 CONTRACTS	2020 1099-B*	OMB No. 1545-0715
3- Nondividend distributions	0.00		8- Profit or (loss) realized in 2020 on closed contracts	0.00	
4- Federal income tax withheld	0.00		9- Unrealized profit or (loss) on open contracts-12/31/2019	0.00	
5- Section 199A dividends	0.00		10- Unrealized profit or (loss) on open contracts-12/31/2020	0.00	
6- Investment expenses	0.00		11- Aggregate profit or (loss) on contracts	0.00	
8- Foreign country or US possession:	0.00				
7- Foreign tax paid:	0.00				
9- Cash liquidation distributions	0.00				
10- Noncash liquidation distributions	0.00				
11- Exempt-interest dividends (includes line 12)	0.00				
12- Specified private activity bond interest dividends (AMT)	0.00				

If applicable, proceeds from sale transactions appear summarized below and are detailed in subsequent sections of this document.

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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)	17,735.37	17,377.56	0.00	468.63	826.44
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)	4.19	7.44	0.00	0.00	-3.25
	Total Short-term	17,739.56	17,385.00	0.00	468.63	823.19
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	17,739.56	17,385.00	0.00	468.63	823.19
Withholding		Amount				
	Federal income tax withheld	0.00				

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

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Summary Information

2020

(continued)

02/14/2021

INTEREST INCOME

2020 1099-INT

OMB No. 1545-0112

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 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	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

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Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

02/14/2021

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

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

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

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

FATCA filing requirement []

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

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

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

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
ABRAXAS PETROLEUM CORPORATION COMMON STOCK / CUSIP: 003830106 / Symbol:							
10/12/20	200.000	31.30	10/09/20	47.42	...	-16.12	Sale ²⁵
ACASTI PHARMA, INC. CLASS A CO MMON STOCK / CUSIP: 00430K402 / Symbol:							
8 transactions for 12/24/20. Total proceeds and cost reported to the IRS.							
	100.000	33.73	12/23/20	46.10	12.37 W	0.00	1 of 8 - Sale ²⁵
	350.000	118.05	12/23/20	161.35	43.30 W	0.00	2 of 8 - Sale ²⁵
	99.000	33.39	12/23/20	60.76	27.37 W	0.00	3 of 8 - Sale ²⁵
	1.000	0.34	12/23/20	0.61	0.27 W	0.00	4 of 8 - Sale ²⁵
	39.000	13.16	12/23/20	23.93	10.77 W	0.00	5 of 8 - Sale ²⁵
	61.000	20.58	12/23/20	37.44	16.86 W	0.00	6 of 8 - Sale ²⁵
	64.000	21.59	12/23/20	36.08	14.49 W	0.00	7 of 8 - Sale ²⁵
	36.000	12.15	12/23/20	20.29	8.14 W	0.00	8 of 8 - Sale ²⁵
12/24/20	750.000	252.99	Various	386.56	133.57 W	0.00	Total of 8 transactions

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Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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

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1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	7- Loss not allowed (X) also not reported (Z)	Gain or loss(-) & Additional information
ACTINIUM PHARMACEUTICALS, INC / CUSIP: 00507W206 / Symbol:							
08/24/20	3.000	26.49	08/06/20	41.41	...	-14.92	Sale ²⁵
ADIAL PHARMACEUTICALS, INC COM MON STOCK / CUSIP: 00688A106 / Symbol:							
11/20/20	49.000	83.06	10/09/20	100.09	...	-17.03	Sale ²⁵
AIM IMMUNOTECH INC. / CUSIP: 00901B105 / Symbol:							
09/17/20	15.000	29.57	08/10/20	45.44	...	-15.87	Sale ²⁵
AKEBIA THERAPEUTICS, INC. COMM ON STOCK / CUSIP: 00972D105 / Symbol:							
3 transactions for 11/23/20. Total proceeds and cost reported to the IRS.							
	25.000	73.26	10/13/20	88.75	...	-15.49	1 of 3 - Sale ²⁵
	19.000	55.68	10/13/20	67.22	...	-11.54	2 of 3 - Sale ²⁵
	1.000	2.93	10/13/20	3.54	...	-0.61	3 of 3 - Sale ²⁵
11/23/20	45.000	131.87	Various	159.51	...	-27.64	Total of 3 transactions
AMERICAN RESOURCES CORPORATION CLASS A COMMON STOCK / CUSIP: 02927U208 / Symbol:							
3 transactions for 10/16/20. Total proceeds and cost reported to the IRS.							
	18.000	30.87	10/07/20	60.03	...	-29.16	1 of 3 - Sale ²⁵
	10.000	17.15	10/07/20	41.55	...	-24.40	2 of 3 - Sale ²⁵
	1.000	1.72	10/07/20	2.89	...	-1.17	3 of 3 - Sale ²⁵
10/16/20	29.000	49.74	Various	104.47	...	-54.73	Total of 3 transactions
2 transactions for 12/10/20. Total proceeds and cost reported to the IRS.							
	78.000	141.17	11/24/20	179.40	...	-38.23	1 of 2 - Sale ²⁵
	52.000	94.11	11/24/20	119.60	...	-25.49	2 of 2 - Sale ²⁵
12/10/20	130.000	235.28	Various	299.00	...	-63.72	Total of 2 transactions
	Security total:	285.02		403.47	...	-118.45	
ANTERO RESOURCES CORPORATION / CUSIP: 03674X106 / Symbol:							
06/26/20	1.000	2.44	06/22/20	3.22	...	-0.78	Sale ²⁵
ASTROTECH CORPORATION (DE) COM MON STOCK / CUSIP: 046484200 / Symbol:							
10/23/20	7.000	17.50	10/21/20	35.92	...	-18.42	Sale ²⁵

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

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

"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
AVINGER, INC. COMMON STOCK / CUSIP: 053734604 / Symbol:							
08/19/20	80.000	54.23	08/06/20	44.64	...	9.59	Sale ²⁵
10/28/20	100.000	24.69	08/26/20	53.26	...	-28.57	Sale ²⁵
12/09/20	1.000	0.32	12/01/20	0.32	...	0.00	Sale ²⁵
	Security total:	79.24		98.22	...	-18.98	
BIO-KEY INTERNATIONAL, INC. COMMON STOCK / CUSIP: 09060C309 / Symbol:							
11/18/20	55.000	24.40	08/12/20	44.55	...	-20.15	Sale ²⁵
BIONANO GENOMICS, INC. COMMON STOCK / CUSIP: 09075F107 / Symbol:							
11/23/20	75.000	37.87	10/12/20	44.82	...	-6.95	Sale ²⁵
BIOFRONTERA AG AMERICAN DEPOSITARY SHARES / CUSIP: 09075G105 / Symbol:							
08/24/20	3.000	32.58	08/21/20	34.16	...	-1.58	Sale ²⁵
BIRKS GROUP INC / CUSIP: 09088U109 / Symbol:							
12/02/20	95.000	75.99	11/25/20	109.25	...	-33.26	Sale ²⁵
BOXLIGHT CORPORATION CLASS A COMMON STOCK / CUSIP: 103197109 / Symbol:							
2 transactions for 11/23/20. Total proceeds and cost reported to the IRS.							
	25.000	35.76	07/16/20	93.13	...	-57.37	1 of 2 - Sale ²⁵
	25.000	35.76	10/12/20	43.48	...	-7.72	2 of 2 - Sale ²⁵
11/23/20	50.000	71.52	Various	136.61	...	-65.09	Total of 2 transactions
CAMBER ENERGY, INC / CUSIP: 13200M508 / Symbol:							
10/01/20	65.000	36.62	09/29/20	50.69	14.07 W	0.00	Sale ²⁵
10/09/20	65.000	56.54	10/06/20	62.13	...	-5.59	Sale ²⁵
	Security total:	93.16		112.82	14.07 W	-5.59	
CONTRAFECT CORPORATION COMMON STOCK / CUSIP: 212326300 / Symbol:							
2 transactions for 11/27/20. Total proceeds and cost reported to the IRS.							
	6.000	38.40	11/24/20	32.16	...	6.24	1 of 2 - Sale ²⁵
	19.000	121.60	11/24/20	101.84	...	19.76	2 of 2 - Sale ²⁵
11/27/20	25.000	160.00	Various	134.00	...	26.00	Total of 2 transactions

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Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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

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

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

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
CORBUS PHARMACEUTICALS HOLDING S, INC. COMMON STOCK / CUSIP: 21833P103 / Symbol:							
2 transactions for 12/22/20. Total proceeds and cost reported to the IRS.							
	74.000	110.25	12/18/20	117.66	...	-7.41	1 of 2 - Sale ²⁵
	65.000	96.84	12/18/20	103.35	...	-6.51	2 of 2 - Sale ²⁵
12/22/20	139.000	207.09	Various	221.01	...	-13.92	Total of 2 transactions
DENISON MINES CORP / CUSIP: 248356107 / Symbol:							
10/12/20	110.000	38.49	10/07/20	50.79	...	-12.30	Sale ²⁵
EASTMAN KODAK COMPANY / CUSIP: 277461406 / Symbol:							
10/20/20	4.000	36.08	09/16/20	44.92	...	-8.84	Sale ²⁵
ELECTRO-SENSORS, INC. COMMON S TOCK / CUSIP: 285233102 / Symbol:							
2 transactions for 10/07/20. Total proceeds and cost reported to the IRS.							
	1.000	5.74	10/06/20	4.90	...	0.84	1 of 2 - Sale ²⁵
	10.000	57.35	10/06/20	49.00	...	8.35	2 of 2 - Sale ²⁵
10/07/20	11.000	63.09	Various	53.90	...	9.19	Total of 2 transactions
ENSERVCO CORP. / CUSIP: 29358Y102 / Symbol:							
10/09/20	300.000	51.86	09/29/20	51.48	...	0.38	Sale ²⁵
ENSERVCO CORP. / CUSIP: 29358Y201 / Symbol:							
12/15/20	150.000	299.23	11/23/20	325.50	...	-26.27	Sale ²⁵
EVOFEM BIOSCIENCES, INC. COMMO N STOCK / CUSIP: 30048L104 / Symbol:							
12/10/20	16.000	34.72	10/12/20	46.38	...	-11.66	Sale ²⁵
FISKER INC. / CUSIP: 33813J106 / Symbol:							
7 transactions for 11/12/20. Total proceeds and cost reported to the IRS.							
	10.000	149.74	08/06/20	118.80	...	30.94	1 of 7 - Sale ²⁵
	14.000	209.64	09/04/20	193.90	...	15.74	2 of 7 - Sale ²⁵
	4.000	59.90	09/24/20	54.56	...	5.34	3 of 7 - Sale ²⁵
	3.000	44.92	09/25/20	40.59	...	4.33	4 of 7 - Sale ²⁵
	3.000	44.92	09/25/20	40.35	...	4.57	5 of 7 - Sale ²⁵
	2.000	29.95	10/23/20	20.84	...	9.11	6 of 7 - Sale ²⁵

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2020 1099-B* OMB No. 1545-0715

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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
FISKER INC. / CUSIP: 33813J106 / Symbol: (cont'd)							
	5.000	74.88	10/27/20	51.40	...	23.48	7 of 7 - Sale ²⁵
11/12/20	41.000	613.95	Various	520.44	...	93.51	Total of 7 transactions
2 transactions for 11/12/20. Total proceeds and cost reported to the IRS.							
	4.000	59.90	09/16/20	67.52	7.62 W	0.00	1 of 2 - Sale ²⁵
	6.000	89.85	09/16/20	102.00	12.15 W	0.00	2 of 2 - Sale ²⁵
11/12/20	10.000	149.75	Various	169.52	19.77 W	0.00	Total of 2 transactions
11/20/20	4.000	65.28	11/12/20	67.66	...	-2.38	Sale ²⁵
	Security total:	828.98		757.62	19.77 W	91.13	
FRANCESCAS HLDGS CORP COMMON S TOCK / CUSIP: 351793203 / Symbol:							
12/02/20	60.000	160.19	11/24/20	252.00	...	-91.81	Sale ²⁵
FUELCELL ENERGY, INC. COMMON S TOCK / CUSIP: 35952H601 / Symbol:							
10/20/20	20.000	46.63	10/09/20	52.58	...	-5.95	Sale ²⁵
FUBOTV INC. / CUSIP: 35953D104 / Symbol:							
2 transactions for 12/23/20. Total proceeds and cost reported to the IRS.							
	5.000	274.99	11/16/20	93.55	...	181.44	1 of 2 - Sale ²⁵
	15.000	824.98	11/16/20	278.70	...	546.28	2 of 2 - Sale ²⁵
12/23/20	20.000	1,099.97	Various	372.25	...	727.72	Total of 2 transactions
GENIUS BRANDS INTERNATIONAL, I NC. COMMON STOCK / CUSIP: 37229T301 / Symbol:							
09/28/20	40.000	47.40	09/25/20	47.80	0.35 W	-0.05	Sale ²⁵
10/20/20	35.000	46.90	10/12/20	50.58	...	-3.68	Sale ²⁵
	Security total:	94.30		98.38	0.35 W	-3.73	
GEVO, INC. COMMON STOCK / CUSIP: 374396406 / Symbol:							
10/28/20	17.000	16.50	08/25/20	26.44	...	-9.94	Sale ²⁵
HANCOCK JAFFE LABORATORIES, IN C. COMMON STOCK / CUSIP: 41015N106 / Symbol:							
08/21/20	65.000	32.11	08/21/20	40.05	...	-7.94	Sale ²⁵
HEAT BIOLOGICS, INC. COMMON ST OCK / CUSIP: 42237K300 / Symbol:							
10/23/20	35.000	41.72	09/17/20	50.71	...	-8.99	Sale ²⁵

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Account 774158042

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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

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HEXO CORP. / CUSIP: 428304109 / Symbol:							
3 transactions for 12/04/20. Total proceeds and cost reported to the IRS.							
	50.000	53.49	11/30/20	54.00	...	-0.51	1 of 3 - Sale ²⁵
	50.000	53.50	11/30/20	51.50	...	2.00	2 of 3 - Sale ²⁵
	300.000	320.96	11/30/20	311.67	...	9.29	3 of 3 - Sale ²⁵
12/04/20	400.000	427.95	Various	417.17	...	10.78	Total of 3 transactions
HOUSTON AMERICAN ENERGY CORP / CUSIP: 44183U209 / Symbol:							
2 transactions for 09/29/20. Total proceeds and cost reported to the IRS.							
	7.000	37.31	09/29/20	21.00	...	16.31	1 of 2 - Sale ²⁵
	10.000	53.30	09/29/20	30.00	...	23.30	2 of 2 - Sale ²⁵
09/29/20	17.000	90.61	Various	51.00	...	39.61	Total of 2 transactions
IBIO, INC. / CUSIP: 451033203 / Symbol:							
07/16/20	11.000	34.65	06/29/20	28.00	...	6.65	Sale ²⁵
9 transactions for 12/10/20. Total proceeds and cost reported to the IRS.							
	19.000	22.99	08/06/20	81.42	...	-58.43	1 of 9 - Sale ²⁵
	16.000	19.36	08/06/20	68.24	...	-48.88	2 of 9 - Sale ²⁵
	10.000	12.10	08/25/20	25.25	...	-13.15	3 of 9 - Sale ²⁵
	12.000	14.52	08/27/20	24.48	...	-9.96	4 of 9 - Sale ²⁵
	8.000	9.68	08/27/20	16.28	...	-6.60	5 of 9 - Sale ²⁵
	6.000	7.26	08/27/20	12.24	...	-4.98	6 of 9 - Sale ²⁵
	10.000	12.09	09/02/20	19.95	...	-7.86	7 of 9 - Sale ²⁵
	9.000	10.89	09/02/20	17.87	...	-6.98	8 of 9 - Sale ²⁵
	1.000	1.21	09/02/20	2.00	...	-0.79	9 of 9 - Sale ²⁵
12/10/20	91.000	110.10	Various	267.73	...	-157.63	Total of 9 transactions
	Security total:	144.75		295.73	...	-150.98	
IDEANOMICS, INC. COMMON STOCK / CUSIP: 45166V106 / Symbol:							
2 transactions for 11/16/20. Total proceeds and cost reported to the IRS.							
	11.000	12.39	06/29/20	18.65	6.26 W	0.00	1 of 2 - Sale ²⁵
	17.000	19.14	06/29/20	28.90	9.76 W	0.00	2 of 2 - Sale ²⁵
11/16/20	28.000	31.53	Various	47.55	16.02 W	0.00	Total of 2 transactions

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IDEANOMICS, INC. COMMON STOCK / CUSIP: 45166V106 / Symbol: (cont'd)							
4 transactions for 11/24/20. Total proceeds and cost reported to the IRS.							
	52.000	163.79	11/24/20	191.88	...	-28.09	1 of 4 - Sale ²⁵
	17.000	53.55	11/24/20	72.49	...	-18.94	2 of 4 - Sale ²⁵
	10.000	31.50	11/24/20	42.59	...	-11.09	3 of 4 - Sale ²⁵
	1.000	3.15	11/24/20	4.26	...	-1.11	4 of 4 - Sale ²⁵
11/24/20	80.000	251.99	Various	311.22	...	-59.23	Total of 4 transactions
	Security total:	283.52		358.77	16.02 W	-59.23	
INDIA GLOBALIZATION CAPITAL, I NC. / CUSIP: 45408X308 / Symbol:							
08/14/20	15.000	29.55	08/13/20	49.65	17.42 W	-2.68	Sale ²⁵
08/17/20	13.000	20.80	08/14/20	44.85	...	-24.05	Sale ²⁵
	Security total:	50.35		94.50	17.42 W	-26.73	
INSIGNIA SYSTEMS, INC. COMMON STOCK / CUSIP: 45765Y105 / Symbol:							
2 transactions for 10/27/20. Total proceeds and cost reported to the IRS.							
	60.000	88.79	10/26/20	72.00	...	16.79	1 of 2 - Sale ²⁵
	100.000	147.99	10/26/20	120.00	...	27.99	2 of 2 - Sale ²⁵
10/27/20	160.000	236.78	Various	192.00	...	44.78	Total of 2 transactions
JUST ENERGY GROUP INC / CUSIP: 48213W408 / Symbol:							
10/22/20	2.000	10.64	09/25/20	46.85	...	-36.21	Sale ²⁵
KANDI TECHNOLOGIES GROUP, INC COMMON STOCK / CUSIP: 483709101 / Symbol:							
10/09/20	7.000	52.16	09/29/20	50.07	...	2.09	Sale ²⁵
LM FUNDING AMERICA, INC. COMMO N STOCK / CUSIP: 502074305 / Symbol:							
10/28/20	50.000	27.87	09/29/20	54.00	...	-26.13	Sale ²⁵
LION GROUP HOLDING LTD. AMERIC AN DEPOSITARY SHARE / CUSIP: 53620U102 / Symbol:							
11/19/20	53.000	136.47	11/18/20	151.05	...	-14.58	Sale ²⁵

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2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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MARATHON PATENT GROUP, INC. CO MMON STOCK / CUSIP: 56585W401 / Symbol:							
08/05/20	15.000	67.95	08/03/20	45.98	...	21.97	Sale ²⁵
08/07/20	15.000	65.10	08/03/20	45.97	...	19.13	Sale ²⁵
	7 transactions for 10/21/20. Total proceeds and cost reported to the IRS.						
	6.000	17.10	08/24/20	14.88	...	2.22	1 of 7 - Sale ²⁵
	20.000	56.99	08/25/20	44.33	...	12.66	2 of 7 - Sale ²⁵
	12.000	34.20	09/02/20	28.32	...	5.88	3 of 7 - Sale ²⁵
	3.000	8.55	09/14/20	5.67	...	2.88	4 of 7 - Sale ²⁵
	10.000	28.50	09/14/20	19.07	...	9.43	5 of 7 - Sale ²⁵
	1.000	2.85	09/17/20	2.01	...	0.84	6 of 7 - Sale ²⁵
	30.000	85.49	09/24/20	53.35	...	32.14	7 of 7 - Sale ²⁵
10/21/20	82.000	233.68	Various	167.63	...	66.05	Total of 7 transactions
	8 transactions for 10/21/20. Total proceeds and cost reported to the IRS.						
	11.000	31.35	08/07/20	45.86	14.51 W	0.00	1 of 8 - Sale ²⁵
	5.000	14.25	08/10/20	24.59	10.34 W	0.00	2 of 8 - Sale ²⁵
	11.000	31.35	08/10/20	48.18	16.83 W	0.00	3 of 8 - Sale ²⁵
	8.000	22.80	08/12/20	31.44	8.64 W	0.00	4 of 8 - Sale ²⁵
	14.000	39.90	08/13/20	45.36	5.46 W	0.00	5 of 8 - Sale ²⁵
	4.000	11.40	08/21/20	11.59	0.19 W	0.00	6 of 8 - Sale ²⁵
	10.000	28.50	08/21/20	29.07	0.57 W	0.00	7 of 8 - Sale ²⁵
	10.000	28.50	08/21/20	29.50	1.00 W	0.00	8 of 8 - Sale ²⁵
10/21/20	73.000	208.05	Various	265.59	57.54 W	0.00	Total of 8 transactions
	4 transactions for 11/18/20. Total proceeds and cost reported to the IRS.						
	4.000	12.80	10/21/20	12.11	...	0.69	1 of 4 - Sale ²⁵
	10.000	32.00	10/21/20	30.80	...	1.20	2 of 4 - Sale ²⁵
	10.000	32.00	10/21/20	30.37	...	1.63	3 of 4 - Sale ²⁵
	75.000	239.98	10/21/20	223.50	...	16.48	4 of 4 - Sale ²⁵
11/18/20	99.000	316.78	Various	296.78	...	20.00	Total of 4 transactions
	6 transactions for 11/18/20. Total proceeds and cost reported to the IRS.						
	1.000	3.20	10/21/20	4.15	0.95 W	0.00	1 of 6 - Sale ²⁵
	10.000	32.00	10/21/20	42.99	10.99 W	0.00	2 of 6 - Sale ²⁵
	5.000	16.00	10/21/20	25.24	9.24 W	0.00	3 of 6 - Sale ²⁵
	11.000	35.20	10/21/20	49.61	14.41 W	0.00	4 of 6 - Sale ²⁵
	8.000	25.60	10/21/20	32.48	6.88 W	0.00	5 of 6 - Sale ²⁵

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Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

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MARATHON PATENT GROUP, INC. CO MMON STOCK / CUSIP: 56585W401 / Symbol: (cont'd)							
	14.000	44.80	10/21/20	47.18	2.38 W	0.00	6 of 6 - Sale ²⁵
11/18/20	49.000	156.80	Various	201.65	44.85 W	0.00	Total of 6 transactions
11/20/20	96.000	321.70	11/18/20	318.72	...	2.98	Sale ²⁵
6 transactions for 11/20/20. Total proceeds and cost reported to the IRS.							
	1.000	3.35	11/18/20	4.27	0.92 W	0.00	1 of 6 - Sale ²⁵
	10.000	33.51	11/18/20	44.19	10.68 W	0.00	2 of 6 - Sale ²⁵
	5.000	16.76	11/18/20	25.84	9.08 W	0.00	3 of 6 - Sale ²⁵
	11.000	36.86	11/18/20	50.93	14.07 W	0.00	4 of 6 - Sale ²⁵
	8.000	26.81	11/18/20	33.44	6.63 W	0.00	5 of 6 - Sale ²⁵
	14.000	46.91	11/18/20	48.86	1.95 W	0.00	6 of 6 - Sale ²⁵
11/20/20	49.000	164.20	Various	207.53	43.33 W	0.00	Total of 6 transactions
7 transactions for 11/27/20. Total proceeds and cost reported to the IRS.							
	11.000	44.99	11/20/20	51.58	...	-6.59	1 of 7 - Sale ²⁵
	5.000	20.45	11/20/20	26.13	...	-5.68	2 of 7 - Sale ²⁵
	10.000	40.90	11/20/20	44.78	...	-3.88	3 of 7 - Sale ²⁵
	8.000	32.72	11/20/20	33.91	...	-1.19	4 of 7 - Sale ²⁵
	1.000	4.09	11/20/20	4.33	...	-0.24	5 of 7 - Sale ²⁵
	14.000	57.25	11/20/20	49.69	...	7.56	6 of 7 - Sale ²⁵
	83.000	339.44	11/20/20	283.03	...	56.41	7 of 7 - Sale ²⁵
11/27/20	132.000	539.84	Various	493.45	...	46.39	Total of 7 transactions
Security total:		2,074.10		2,043.30	145.72 W	176.52	
MEDIGUS LTD. AMERICAN DEPOSITA RY SHARES / CUSIP: 58471G300 / Symbol:							
11/25/20	34.000	109.14	11/23/20	127.82	...	-18.68	Sale ²⁵
MICROVISION, INC. COMMON STOCK / CUSIP: 594960304 / Symbol:							
06/26/20	6.000	8.34	06/23/20	9.84	...	-1.50	Sale ²⁵
MUSCLE MAKER, INC COMMON STOCK / CUSIP: 627333107 / Symbol:							
3 transactions for 10/26/20. Total proceeds and cost reported to the IRS.							
	54.000	133.99	10/23/20	91.80	...	42.19	1 of 3 - Sale ²⁵
	60.000	148.87	10/23/20	103.20	...	45.67	2 of 3 - Sale ²⁵
	40.000	79.00	10/26/20	93.20	...	-14.20	3 of 3 - Sale ²⁵
10/26/20	154.000	361.86	Various	288.20	...	73.66	Total of 3 transactions

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NIO INC. AMERICAN DEPOSITARY S HARES, EACH REPRESENTING ONE CLASS A ORDINARY SHARE / CUSIP: 62914V106 / Symbol:							
08/05/20	7.000	97.02	08/05/20	96.85	...	0.17	Sale ²⁵
	<i>2 transactions for 10/15/20. Total proceeds and cost reported to the IRS.</i>						
	5.000	137.50	08/31/20	87.00	...	50.50	1 of 2 - Sale ²⁵
	4.000	110.00	10/14/20	96.76	...	13.24	2 of 2 - Sale ²⁵
10/15/20	9.000	247.50	Various	183.76	...	63.74	Total of 2 transactions
10/28/20	7.000	193.06	10/19/20	192.92	...	0.14	Sale ²⁵
	Security total:	537.58		473.53	...	64.05	
NIKOLA CORPORATION COMMON STOCK / CUSIP: 654110105 / Symbol:							
09/28/20	3.000	56.92	09/24/20	59.18	1.51 W	-0.75	Sale ²⁵
10/16/20	2.000	43.06	10/09/20	50.67	...	-7.61	Sale ²⁵
	Security total:	99.98		109.85	1.51 W	-8.36	
OCUGEN, INC. COMMON STOCK / CUSIP: 67577C105 / Symbol:							
	<i>3 transactions for 12/02/20. Total proceeds and cost reported to the IRS.</i>						
	100.000	30.39	12/01/20	38.00	...	-7.61	1 of 3 - Sale ²⁵
	21.000	6.38	12/01/20	7.98	...	-1.60	2 of 3 - Sale ²⁵
	4.000	1.22	12/01/20	1.52	...	-0.30	3 of 3 - Sale ²⁵
12/02/20	125.000	37.99	Various	47.50	...	-9.51	Total of 3 transactions
ONCONOVA THERAPEUTICS, INC. COMMON STOCK / CUSIP: 68232V405 / Symbol:							
12/02/20	1,050.000	327.58	11/30/20	311.96	...	15.62	Sale ²⁵
OPGEN, INC. COMMON STOCK / CUSIP: 68373L307 / Symbol:							
08/25/20	12.000	26.29	08/10/20	44.16	...	-17.87	Sale ²⁵
ORAGENICS INC. / CUSIP: 684023302 / Symbol:							
12/04/20	100.000	44.17	12/02/20	55.77	...	-11.60	Sale ²⁵
12/04/20	470.000	207.64	12/02/20	256.56	34.35 W	-14.57	Sale ²⁵
12/23/20	330.000	178.19	12/22/20	202.62	...	-24.43	Sale ²⁵
	Security total:	430.00		514.95	34.35 W	-50.60	

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PLATINUM GROUP METALS LTD. / CUSIP: 72765Q882 / Symbol:							
3 transactions for 12/08/20. Total proceeds and cost reported to the IRS.							
	10.000	43.95	11/20/20	21.90	...	22.05	1 of 3 - Sale ²⁵
	31.000	136.25	11/20/20	70.06	...	66.19	2 of 3 - Sale ²⁵
	60.000	263.72	11/20/20	131.40	...	132.32	3 of 3 - Sale ²⁵
12/08/20	101.000	443.92	Various	223.36	...	220.56	Total of 3 transactions
PLUG POWER, INC. COMMON STOCK / CUSIP: 72919P202 / Symbol:							
2 transactions for 11/04/20. Total proceeds and cost reported to the IRS.							
	3.000	48.25	10/09/20	54.68	...	-6.43	1 of 2 - Sale ²⁵
	3.000	48.24	10/12/20	54.29	...	-6.05	2 of 2 - Sale ²⁵
11/04/20	6.000	96.49	Various	108.97	...	-12.48	Total of 2 transactions
RA MEDICAL SYSTEMS, INC / CUSIP: 74933X203 / Symbol:							
2 transactions for 12/22/20. Total proceeds and cost reported to the IRS.							
	11.000	80.74	12/18/20	94.27	...	-13.53	1 of 2 - Sale ²⁵
	11.000	80.74	12/18/20	94.16	...	-13.42	2 of 2 - Sale ²⁵
12/22/20	22.000	161.48	Various	188.43	...	-26.95	Total of 2 transactions
RCM TECHNOLOGIES, INC. COMMON STOCK / CUSIP: 749360400 / Symbol:							
10/07/20	29.000	41.76	10/06/20	50.10	...	-8.34	Sale ²⁵
RAVE RESTAURANT GROUP, INC. COMMON STOCK / CUSIP: 754198109 / Symbol:							
2 transactions for 11/24/20. Total proceeds and cost reported to the IRS.							
	68.000	61.88	11/20/20	65.96	...	-4.08	1 of 2 - Sale ²⁵
	62.000	56.41	11/20/20	60.14	...	-3.73	2 of 2 - Sale ²⁵
11/24/20	130.000	118.29	Various	126.10	...	-7.81	Total of 2 transactions
RENREN INC. AMERICAN DEPOSITARY SHARE (EACH REPRESENTING FOR TY-FIVE (45) CLASS A ORDINARY / CUSIP: 759892300 / Symbol:							
11/24/20	45.000	315.00	11/20/20	209.70	...	105.30	Sale ²⁵
RICEBRAN TECHNOLOGIES COMMON STOCK / CUSIP: 762831204 / Symbol:							
12/03/20	350.000	202.96	12/01/20	290.50	...	-87.54	Sale ²⁵
ROCKET COMPANIES, INC. / CUSIP: 77311W101 / Symbol:							
09/28/20	1.000	20.67	08/24/20	29.33	...	-8.66	Sale ²⁵

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Robinhood Securities LLC

Account 774158042

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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

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1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	7- Loss not allowed (X) also not reported (Z)	Gain or loss(-) & Additional information
SENMIAO TECHNOLOGY LIMITED COM MON STOCK / CUSIP: 817225105 / Symbol:							
2 transactions for 11/20/20. Total proceeds and cost reported to the IRS.							
	51.000	57.62	10/20/20	69.87	...	-12.25	1 of 2 - Sale ²⁵
	49.000	55.37	10/20/20	67.13	...	-11.76	2 of 2 - Sale ²⁵
11/20/20	100.000	112.99	Various	137.00	...	-24.01	Total of 2 transactions
SESEN BIO, INC. COMMON STOCK / CUSIP: 817763105 / Symbol:							
3 transactions for 11/23/20. Total proceeds and cost reported to the IRS.							
	29.000	33.78	10/01/20	41.33	...	-7.55	1 of 3 - Sale ²⁵
	37.000	43.10	10/02/20	49.40	...	-6.30	2 of 3 - Sale ²⁵
	10.000	11.65	10/02/20	13.90	...	-2.25	3 of 3 - Sale ²⁵
11/23/20	76.000	88.53	Various	104.63	...	-16.10	Total of 3 transactions
SHIFTPIXY, INC. COMMON STOCK / CUSIP: 82452L203 / Symbol:							
2 transactions for 12/02/20. Total proceeds and cost reported to the IRS.							
	40.000	93.76	11/19/20	96.93	3.17 W	0.00	1 of 2 - Sale ²⁵
	50.000	117.20	11/19/20	123.35	6.15 W	0.00	2 of 2 - Sale ²⁵
12/02/20	90.000	210.96	Various	220.28	9.32 W	0.00	Total of 2 transactions
3 transactions for 12/09/20. Total proceeds and cost reported to the IRS.							
	10.000	30.00	12/08/20	28.09	...	1.91	1 of 3 - Sale ²⁵
	50.000	149.99	12/08/20	146.63	...	3.36	2 of 3 - Sale ²⁵
	40.000	120.00	12/08/20	115.55	...	4.45	3 of 3 - Sale ²⁵
12/09/20	100.000	299.99	Various	290.27	...	9.72	Total of 3 transactions
	Security total:	510.95		510.55	9.32 W	9.72	
SUNDIAL GROWERS INC. COMMON SH ARES / CUSIP: 86730L109 / Symbol:							
2 transactions for 11/30/20. Total proceeds and cost reported to the IRS.							
	255.000	201.41	11/27/20	101.36	...	100.05	1 of 2 - Sale ²⁵
	525.000	414.68	11/27/20	204.75	...	209.93	2 of 2 - Sale ²⁵
11/30/20	780.000	616.09	Various	306.11	...	309.98	Total of 2 transactions
12/01/20	430.000	291.04	11/30/20	301.00	9.96 W	0.00	Sale ²⁵
12/03/20	290.000	212.34	12/02/20	209.72	...	2.62	Sale ²⁵

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Robinhood Securities LLC

Account 774158042

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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

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1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
SUNDIAL GROWERS INC. COMMON SH ARES / CUSIP: 86730L109 / Symbol: (cont'd)							
3 transactions for 12/04/20. Total proceeds and cost reported to the IRS.							
	120.000	78.46	12/04/20	83.73	...	-5.27	1 of 3 - Sale ²⁵
	190.000	124.24	12/04/20	128.25	...	-4.01	2 of 3 - Sale ²⁵
	20.000	13.08	12/04/20	14.06	...	-0.98	3 of 3 - Sale ²⁵
12/04/20	330.000	215.78	Various	226.04	...	-10.26	Total of 3 transactions
	Security total:	1,335.25		1,042.87	9.96 W	302.34	
SUNWORKS, INC. COMMON STOCK / CUSIP: 86803X204 / Symbol:							
09/24/20	9.000	61.76	09/24/20	48.87	...	12.89	Sale ²⁵
09/24/20	6.000	39.09	09/24/20	46.32	7.23 W	0.00	Sale ²⁵
3 transactions for 10/07/20. Total proceeds and cost reported to the IRS.							
	6.000	25.26	09/28/20	23.07	...	2.19	1 of 3 - Sale ²⁵
	7.000	29.47	09/28/20	18.48	...	10.99	2 of 3 - Sale ²⁵
	10.000	42.10	09/28/20	26.90	...	15.20	3 of 3 - Sale ²⁵
10/07/20	23.000	96.83	Various	68.45	...	28.38	Total of 3 transactions
2 transactions for 10/16/20. Total proceeds and cost reported to the IRS.							
	20.000	62.67	10/15/20	69.34	...	-6.67	1 of 2 - Sale ²⁵
	10.000	31.33	10/15/20	34.67	...	-3.34	2 of 2 - Sale ²⁵
10/16/20	30.000	94.00	Various	104.01	...	-10.01	Total of 2 transactions
	Security total:	291.68		267.65	7.23 W	31.26	
TITAN PHARMACEUTICALS, INC. COMMON STOCK / CUSIP: 888314507 / Symbol:							
06/29/20	27.000	8.53	06/23/20	8.91	...	-0.38	Sale ²⁵
11/20/20	720.000	159.97	11/19/20	156.74	...	3.23	Sale ²⁵
11/30/20	1,000.000	171.18	11/30/20	201.90	...	-30.72	Sale ²⁵
	Security total:	339.68		367.55	...	-27.87	
TRXADE GROUP, INC. COMMON STOCK / CUSIP: 89846A207 / Symbol:							
2 transactions for 11/10/20. Total proceeds and cost reported to the IRS.							
	7.000	42.00	10/27/20	39.27	...	2.73	1 of 2 - Sale ²⁵
	10.000	60.00	10/28/20	47.90	...	12.10	2 of 2 - Sale ²⁵
11/10/20	17.000	102.00	Various	87.17	...	14.83	Total of 2 transactions

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Robinhood Securities LLC

Account 774158042

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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

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1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
TRXADE GROUP, INC. COMMON STOC K / CUSIP: 89846A207 / Symbol: (cont'd)							
3 transactions for 11/10/20. Total proceeds and cost reported to the IRS.							
	2.000	12.00	09/30/20	12.39	0.39 W	0.00	1 of 3 - Sale ²⁵
	15.000	90.00	09/30/20	96.60	6.60 W	0.00	2 of 3 - Sale ²⁵
	8.000	48.00	10/12/20	49.52	1.52 W	0.00	3 of 3 - Sale ²⁵
11/10/20	25.000	150.00	Various	158.51	8.51 W	0.00	Total of 3 transactions
	Security total:	252.00		245.68	8.51 W	14.83	
VAXART, INC COMMON STOCK / CUSIP: 92243A200 / Symbol:							
2 transactions for 10/13/20. Total proceeds and cost reported to the IRS.							
	4.000	31.93	09/17/20	36.36	...	-4.43	1 of 2 - Sale ²⁵
	2.000	15.96	09/17/20	18.04	...	-2.08	2 of 2 - Sale ²⁵
10/13/20	6.000	47.89	Various	54.40	...	-6.51	Total of 2 transactions
VELOCITYNE LIDAR, INC. COMMON ST OCK / CUSIP: 92259F101 / Symbol:							
10/13/20	3.000	52.50	10/02/20	52.13	...	0.37	Sale ²⁵
VIVEVE MEDICAL, INC. COMMON ST OCK / CUSIP: 92852W501 / Symbol:							
3 transactions for 12/10/20. Total proceeds and cost reported to the IRS.							
	11.000	55.03	11/23/20	71.48	...	-16.45	1 of 3 - Sale ²⁵
	11.000	55.04	11/23/20	68.21	...	-13.17	2 of 3 - Sale ²⁵
	10.000	50.03	11/23/20	62.01	...	-11.98	3 of 3 - Sale ²⁵
12/10/20	32.000	160.10	Various	201.70	...	-41.60	Total of 3 transactions
WAITR HOLDINGS INC. COMMON STO CK / CUSIP: 930752100 / Symbol:							
11/27/20	30.000	105.90	11/20/20	111.46	4.45 W	-1.11	Sale ²⁵
3 transactions for 12/02/20. Total proceeds and cost reported to the IRS.							
	22.000	78.76	11/20/20	86.36	...	-7.60	1 of 3 - Sale ²⁵
	10.000	35.80	11/20/20	37.15	...	-1.35	2 of 3 - Sale ²⁵
	2.000	7.16	11/20/20	7.79	...	-0.63	3 of 3 - Sale ²⁵
12/02/20	34.000	121.72	Various	131.30	...	-9.58	Total of 3 transactions
	Security total:	227.62		242.76	4.45 W	-10.69	

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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)

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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
WESTWATER RESOURCES, INC. COMM ON STOCK / CUSIP: 961684206 / Symbol:							
09/29/20	32.000	66.92	09/28/20	54.04	...	12.88	Sale ²⁵
	3 transactions for 10/05/20. Total proceeds and cost reported to the IRS.						
	1.000	7.00	09/29/20	2.38	...	4.62	1 of 3 - Sale ²⁵
	16.000	112.00	09/29/20	38.06	...	73.94	2 of 3 - Sale ²⁵
	28.000	196.00	09/29/20	66.60	...	129.40	3 of 3 - Sale ²⁵
10/05/20	45.000	315.00	Various	107.04	...	207.96	Total of 3 transactions
	Security total:	381.92		161.08	...	220.84	
WORKHORSE GROUP, INC. COMMON S TOCK / CUSIP: 98138J206 / Symbol:							
10/12/20	2.000	57.71	09/24/20	46.84	...	10.87	Sale ²⁵
10/26/20	2.000	37.50	10/16/20	47.05	...	-9.55	Sale ²⁵
	Security total:	95.21		93.89	...	1.32	
XPRESSPA GROUP, INC. COMMON ST OCK / CUSIP: 98420U703 / Symbol:							
10/20/20	40.000	85.20	10/06/20	96.58	...	-11.38	Sale ²⁵
BORQS TECHNOLOGIES, INC. ORDIN ARY SHARES / CUSIP: G1466B103 / Symbol:							
08/25/20	25.000	26.50	08/24/20	38.38	...	-11.88	Sale ²⁵
11/19/20	75.000	75.10	11/18/20	75.00	...	0.10	Sale ²⁵
11/20/20	68.000	67.99	11/19/20	68.00	0.01 W	0.00	Sale ²⁵
	2 transactions for 12/09/20. Total proceeds and cost reported to the IRS.						
	75.000	82.53	11/23/20	91.50	...	-8.97	1 of 2 - Sale ²⁵
	68.000	74.82	11/23/20	82.97	...	-8.15	2 of 2 - Sale ²⁵
12/09/20	143.000	157.35	Various	174.47	...	-17.12	Total of 2 transactions
	Security total:	326.94		355.85	0.01 W	-28.90	
CHINA NATURAL RESOURCES, INC. COMMON STOCK / CUSIP: G2110U109 / Symbol:							
	2 transactions for 10/23/20. Total proceeds and cost reported to the IRS.						
	32.000	43.84	10/06/20	50.36	...	-6.52	1 of 2 - Sale ²⁵
	35.000	47.94	10/06/20	52.42	...	-4.48	2 of 2 - Sale ²⁵
10/23/20	67.000	91.78	Various	102.78	...	-11.00	Total of 2 transactions
CHINA SXT PHARMACEUTICALS, INC . ORDINARY SHARES / CUSIP: G2161P108 / Symbol:							
08/21/20	100.000	36.75	08/20/20	40.06	...	-3.31	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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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
COLOR STAR TECHNOLOGY CO. LTD. ORDINARY SHARES / CUSIP: G2287A100 / Symbol:							
12/29/20	240.000	159.57	12/24/20	209.52	...	-49.95	Sale ²⁵
DRAGON VICTORY INTERNATIONAL L IMITED ORDINARY SHARES / CUSIP: G28365107 / Symbol:							
3 transactions for 10/19/20. Total proceeds and cost reported to the IRS.							
	50.000	100.00	10/15/20	107.50	...	-7.50	1 of 3 - Sale ²⁵
	20.000	40.00	10/15/20	41.60	...	-1.60	2 of 3 - Sale ²⁵
	30.000	59.99	10/16/20	51.30	...	8.69	3 of 3 - Sale ²⁵
10/19/20	100.000	199.99	Various	200.40	...	-0.41	Total of 3 transactions
EBANG INTERNATIONAL HOLDINGS I NC. CLASS A ORDINARY SHARES / CUSIP: G3R33A106 / Symbol:							
12/07/20	50.000	210.00	12/03/20	238.00	...	-28.00	Sale ²⁵
RETO ECO-SOLUTIONS, INC. COMMO N SHARES / CUSIP: G75271109 / Symbol:							
2 transactions for 12/04/20. Total proceeds and cost reported to the IRS.							
	150.000	125.35	12/03/20	132.00	...	-6.65	1 of 2 - Sale ²⁵
	100.000	83.69	12/03/20	88.00	...	-4.31	2 of 2 - Sale ²⁵
12/04/20	250.000	209.04	Various	220.00	...	-10.96	Total of 2 transactions
NAKED BRAND GROUP LIMITED ORDINARY SHARES / CUSIP: Q6519T117 / Symbol:							
2 transactions for 11/18/20. Total proceeds and cost reported to the IRS.							
	150.000	18.60	10/27/20	14.24	...	4.36	1 of 2 - Sale ²⁵
	1,950.000	241.76	10/27/20	193.83	...	47.93	2 of 2 - Sale ²⁵
11/18/20	2,100.000	260.36	Various	208.07	...	52.29	Total of 2 transactions
6 transactions for 11/19/20. Total proceeds and cost reported to the IRS.							
	50.000	9.99	11/18/20	7.74	...	2.25	1 of 6 - Sale ²⁵
	100.000	19.99	11/18/20	14.16	...	5.83	2 of 6 - Sale ²⁵
	250.000	49.97	11/18/20	35.40	...	14.57	3 of 6 - Sale ²⁵
	400.000	79.95	11/18/20	61.92	...	18.03	4 of 6 - Sale ²⁵
	400.000	79.95	11/18/20	61.92	...	18.03	5 of 6 - Sale ²⁵
	550.000	109.93	11/18/20	85.14	...	24.79	6 of 6 - Sale ²⁵
11/19/20	1,750.000	349.78	Various	266.28	...	83.50	Total of 6 transactions

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Account 774158042

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

02/14/2021

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

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1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
NAKED BRAND GROUP LIMITED ORDINARY SHARES / CUSIP: Q6519T117 / Symbol: (cont'd)							
2 transactions for 11/20/20. Total proceeds and cost reported to the IRS.							
	739.000	169.88	11/19/20	215.57	45.69 W	0.00	1 of 2 - Sale ²⁵
	11.000	2.53	11/19/20	3.21	0.68 W	0.00	2 of 2 - Sale ²⁵
11/20/20	750.000	172.41	Various	218.78	46.37 W	0.00	Total of 2 transactions
4 transactions for 11/30/20. Total proceeds and cost reported to the IRS.							
	450.000	89.95	11/27/20	122.14	...	-32.19	1 of 4 - Sale ²⁵
	289.000	57.77	11/27/20	79.28	...	-21.51	2 of 4 - Sale ²⁵
	200.000	39.97	11/27/20	42.50	...	-2.53	3 of 4 - Sale ²⁵
	11.000	2.20	11/27/20	3.02	...	-0.82	4 of 4 - Sale ²⁵
11/30/20	950.000	189.89	Various	246.94	...	-57.05	Total of 4 transactions
	Security total:	972.44		940.07	46.37 W	78.74	
SEANERGY MARITIME HOLDINGS CORP COMMON STOCK / CUSIP: Y73760194 / Symbol:							
2 transactions for 11/18/20. Total proceeds and cost reported to the IRS.							
	210.000	93.42	10/29/20	102.23	...	-8.81	1 of 2 - Sale ²⁵
	210.000	93.43	10/29/20	99.96	...	-6.53	2 of 2 - Sale ²⁵
11/18/20	420.000	186.85	Various	202.19	...	-15.34	Total of 2 transactions
Totals :		17,735.37		17,377.56	468.63 W	826.44	

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Account 774158042

Proceeds Not Reported to the IRS

2020

02/14/2021

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

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

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

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

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

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
ACTINIUM PHARMACEUTICALS, INC / CUSIP: 00507W206 / Symbol:							
08/20/20	0.333	3.33	08/06/20	4.60	...	-1.27	Gain or loss
JUST ENERGY GROUP INC / CUSIP: 48213W408 / Symbol:							
10/05/20	0.121	0.86	09/25/20	2.84	...	-1.98	Gain or loss
Totals:		4.19		7.44	...	-3.25	

Robinhood Securities LLC

Account 774158042

Non-Reportable Actions

2020

02/14/2021

Security Description	CUSIP and/or symbol	Date	Quantity	Amount	Transaction type	Notes
FIKER INC.	33813J106	10/30/20	51.00	0.00	Exchange	
RMG ACQUISITION CORP. CLASS A COMMON STOCK	749641106	12/30/20	-15.00	0.00	Exchange	
ROMEO POWER, INC.	776153108	12/30/20	15.00	0.00	Exchange	
SPARTAN ENERGY ACQUISITION COR P.	846784106	10/30/20	-51.00	0.00	Exchange	

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

Common Instructions for Recipient

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Instructions for Recipient

(whichever is applicable) as explained in the Instructions for Schedule D (Form 1040 or 1040-SR).

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

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

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

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

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

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

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

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

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

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

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

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

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

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