

<b>Robinhood Securities LLC</b> 500 Colonial Center Parkway Suite 100 Lake Mary, FL 32746 Customer Service: 650-940-2700  PAYER'S TIN: 38-4019216	<b>Tax Information</b> <b>Account 137834040</b>	Statement Date: 02/14/2021 Document ID: Y78G K4W 1G71	2020
	Praveen kumar Madabushi 602 Avalon Way Shrewsbury, MA 01545  RECIPIENT'S TIN: XXX-XX-9354		

**Summary Information**

<p><b>DIVIDENDS AND DISTRIBUTIONS</b>      <b>2020 1099-DIV*</b>      OMB No. 1545-0110</p> <p>1a- Total ordinary dividends (includes lines 1b, 5)      157.80</p> <p>1b- Qualified dividends      154.43</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><b>4- Federal income tax withheld</b>      <b>0.00</b></p> <p>5- Section 199A dividends      0.00</p> <p>6- Investment expenses      0.00</p> <p>8- Foreign country or US possession: See detail      0.04</p> <p>7- Foreign tax paid:      0.00</p> <p>9- Cash liquidation distributions      0.00</p> <p>10- Noncash liquidation distributions      0.00</p> <p>11- Exempt-interest dividends (includes line 12)      0.00</p> <p>12- Specified private activity bond interest dividends (AMT)      0.00</p>	<p><b>MISCELLANEOUS INCOME</b>      <b>2020 1099-MISC*</b>      OMB No. 1545-0115</p> <p>2- Royalties      0.00</p> <p>3- Other income      0.00</p> <p><b>4- Federal income tax withheld</b>      <b>0.00</b></p> <p>8- Substitute payments in lieu of dividends or interest      0.70</p> <p><b>SECTION 1256 CONTRACTS</b>      <b>2020 1099-B*</b>      OMB No. 1545-0715</p> <p>8- Profit or (loss) realized in 2020 on closed contracts      0.00</p> <p>9- Unrealized profit or (loss) on open contracts-12/31/2019      0.00</p> <p>10- Unrealized profit or (loss) on open contracts-12/31/2020      0.00</p> <p>11- Aggregate profit or (loss) on contracts      0.00</p> <p style="text-align: center;"><i>If applicable, proceeds from sale transactions appear summarized below and are detailed in subsequent sections of this document.</i></p>
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**SUMMARY OF PROCEEDS, GAINS & LOSSES, ADJUSTMENTS AND WITHHOLDING**

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

Term	Form 8949 type	Proceeds	Cost basis	Market discount	Wash sale loss disallowed	Net gain or loss(-)
Short	A (basis reported to the IRS)	40,948.00	44,107.44	0.00	15.02	-3,144.42
Short	B (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Short	C (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
<b>Total Short-term</b>		<b>40,948.00</b>	<b>44,107.44</b>	<b>0.00</b>	<b>15.02</b>	<b>-3,144.42</b>
Long	D (basis reported to the IRS)	3,519.34	2,474.49	0.00	0.00	1,044.85
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
<b>Total Long-term</b>		<b>3,519.34</b>	<b>2,474.49</b>	<b>0.00</b>	<b>0.00</b>	<b>1,044.85</b>
Undetermined	B or E (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Undetermined	C or F (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
<b>Total Undetermined-term</b>		<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
<b>Grand total</b>		<b>44,467.34</b>	<b>46,581.93</b>	<b>0.00</b>	<b>15.02</b>	<b>-2,099.57</b>
<b>Withholding</b>		<b>Amount</b>				
Federal income tax withheld		0.00				

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

Robinhood Securities LLC

Account 137834040

**Summary Information**

2020

(continued)

02/14/2021

**INTEREST INCOME**

**2020 1099-INT**

OMB No. 1545-0112

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

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

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

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

**STATE TAX WITHHELD**

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

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

**ORIGINAL ISSUE DISCOUNT AND ADJUSTMENTS**

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

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

**RECONCILIATIONS, FEES, EXPENSES AND EXPENDITURES**

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

Other Receipts & Reconciliations- Partnership distributions	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	35.52
Fees & Expenses- Dividends paid on short position	0.00
Fees & Expenses- Interest paid on short position	0.00
Fees & Expenses- Non reportable distribution expense	0.00
Fees & Expenses- Other expenses	0.00
Fees & Expenses- Severance tax	0.00
Fees & Expenses- Organizational expense	0.00
Fees & Expenses- Miscellaneous fees	0.00
Fees & Expenses- Tax-exempt investment expense	0.00
Foreign Exchange Gains & Losses- Foreign currency gain/loss	0.00

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## Proceeds from Broker and Barter Exchange Transactions

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

02/14/2021

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

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

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

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

FATCA filing requirement [ ]

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

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

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
AAPL 04/17/2020 PUT \$255.00 / CUSIP: / Symbol:							
03/03/20	1.000	599.97	03/03/20	715.00	...	-115.03	Option sale to close-put <sup>25</sup>
AAPL 05/15/2020 PUT \$275.00 / CUSIP: / Symbol:							
04/02/20	1.000	-215.09	04/01/20	0.00	...	-215.09	Short sale closed- put <sup>25</sup> Option written: 04/01/20
AAPL 05/15/2020 PUT \$280.00 / CUSIP: / Symbol:							
04/01/20	1.000	4,119.89	04/01/20	3,895.00	...	224.89	Option sale to close-put <sup>25</sup>
AAPL 05/29/2020 PUT \$295.00 / CUSIP: / Symbol:							
05/18/20	1.000	19.97	05/15/20	0.00	...	19.97	Short sale closed- put <sup>25</sup> Option written: 05/14/20
AAPL 05/29/2020 PUT \$305.00 / CUSIP: / Symbol:							
05/15/20	1.000	969.96	05/14/20	974.00	...	-4.04	Option sale to close-put <sup>25</sup>

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**Proceeds from Broker and Barter Exchange Transactions**

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

(continued)

02/14/2021

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

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

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
AAPL 10/16/2020 PUT \$115.00 / CUSIP: / Symbol: 09/30/20	1.000	442.98	09/08/20	833.00	...	-390.02	Option sale to close-put <sup>25</sup>
AAPL 10/16/2020 PUT \$120.00 / CUSIP: / Symbol: 10/01/20	1.000	363.96	09/30/20	0.00	...	363.96	Short sale closed- put <sup>25</sup> Option written: 09/08/20
AAPL 12/18/2020 PUT \$105.00 / CUSIP: / Symbol: 10/12/20	1.000	225.98	09/21/20	820.00	...	-594.02	Option sale to close-put <sup>25</sup>
AAPL 12/18/2020 PUT \$110.00 / CUSIP: / Symbol: 10/13/20	1.000	730.96	10/12/20	0.00	...	730.96	Short sale closed- put <sup>25</sup> Option written: 09/21/20
ALLY 03/20/2020 CALL \$30.00 / CUSIP: / Symbol: 03/20/20	1.000	0.00	02/20/20	45.00	...	-45.00	Option expiration- long call
ALLY 06/19/2020 CALL \$31.00 / CUSIP: / Symbol: 06/19/20	1.000	0.00	02/20/20	95.00	...	-95.00	Option expiration- long call
AMD 02/14/2020 PUT \$35.00 / CUSIP: / Symbol: 01/24/20	1.000	2.98	01/13/20	14.00	...	-11.02	Option sale to close-put <sup>25</sup>
AMD 02/14/2020 PUT \$40.00 / CUSIP: / Symbol: 01/27/20	1.000	44.98	01/24/20	0.00	...	44.98	Short sale closed- put <sup>25</sup> Option written: 01/10/20
AMD 03/06/2020 PUT \$45.00 / CUSIP: / Symbol: 02/26/20	1.000	98.98	02/25/20	148.00	...	-49.02	Option sale to close-put <sup>25</sup>
AMD 04/03/2020 PUT \$35.00 / CUSIP: / Symbol: 03/23/20	1.000	132.98	03/18/20	162.00	...	-29.02	Option sale to close-put <sup>25</sup>
AMD 04/17/2020 PUT \$29.00 / CUSIP: / Symbol: 04/17/20	1.000	0.00	03/16/20	137.00	...	-137.00	Option expiration- long put
AMD 04/17/2020 PUT \$40.00 / CUSIP: / Symbol: 03/02/20	1.000	213.98	02/27/20	244.00	...	-30.02	Option sale to close-put <sup>25</sup>

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## Proceeds from Broker and Barter Exchange Transactions

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

(continued)

02/14/2021

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

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

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
AMD 10/16/2020 PUT \$45.00 / CUSIP: / Symbol: 07/28/20	1.000	52.98	06/11/20	304.00	...	-251.02	Option sale to close-put <sup>25</sup>
DAL 06/19/2020 PUT \$40.00 / CUSIP: / Symbol: 04/09/20	1.000	1,544.95	03/11/20	560.00	...	984.95	Option sale to close-put <sup>25</sup>
DB 04/17/2020 PUT \$4.00 / CUSIP: / Symbol: 04/17/20	5.000	0.00	03/11/20	130.00	...	-130.00	Option expiration- long put
DDOG 08/21/2020 PUT \$70.00 / CUSIP: / Symbol: 08/17/20	1.000	2.98	06/23/20	232.00	...	-229.02	Option sale to close-put <sup>25</sup>
DDOG 08/21/2020 PUT \$75.00 / CUSIP: / Symbol: 08/18/20	1.000	327.98	08/17/20	0.00	...	327.98	Short sale closed- put <sup>25</sup> Option written: 06/23/20
DHT 05/15/2020 CALL \$7.00 / CUSIP: / Symbol: 05/15/20	1.000	14.98	05/15/20	0.00	...	14.98	Short sale closed- call expired Option written: 05/07/20
DIS 02/21/2020 CALL \$145.00 / CUSIP: / Symbol: 02/21/20	1.000	0.00	02/03/20	325.00	...	-325.00	Option expiration- long call
DIS 03/20/2020 PUT \$105.00 / CUSIP: / Symbol: 03/04/20	1.000	99.98	02/28/20	248.00	...	-148.02	Option sale to close-put <sup>25</sup>
DIS 04/03/2020 PUT \$100.00 / CUSIP: / Symbol: 03/23/20	1.000	1,759.95	03/06/20	285.00	...	1,474.95	Option sale to close-put <sup>25</sup>
DIS 04/17/2020 PUT \$75.00 / CUSIP: / Symbol: 04/17/20	1.000	0.00	03/12/20	530.00	...	-530.00	Option expiration- long put
DIS 05/08/2020 CALL \$105.00 / CUSIP: / Symbol: 05/06/20	1.000	196.98	05/05/20	0.00	...	196.98	Short sale closed- call <sup>25</sup> Option written: 04/27/20
DIS 05/15/2020 CALL \$105.00 / CUSIP: / Symbol: 05/05/20	1.000	270.98	04/27/20	461.00	...	-190.02	Option sale to close-call <sup>25</sup>

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**Proceeds from Broker and Barter Exchange Transactions**

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

(continued)

02/14/2021

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

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

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	7- Loss not allowed (X) also not reported (Z)	Gain or loss(-) & Additional information
DIS 05/15/2020 CALL \$108.00 / CUSIP: / Symbol:							
05/11/20	1.000	-54.02	05/08/20	0.00	...	-54.02	Short sale closed- call <sup>25</sup> Option written: 05/05/20
DIS 05/15/2020 CALL \$112.00 / CUSIP: / Symbol:							
05/08/20	1.000	75.98	05/05/20	83.00	...	-7.02	Option sale to close-call <sup>25</sup>
DIS 05/15/2020 PUT \$60.00 / CUSIP: / Symbol:							
05/15/20	3.000	0.00	03/12/20	990.00	...	-990.00	Option expiration- long put
DIS 05/15/2020 PUT \$90.00 / CUSIP: / Symbol:							
05/08/20	1.000	7.98	05/05/20	123.00	...	-115.02	Option sale to close-put <sup>25</sup>
DIS 05/15/2020 PUT \$94.00 / CUSIP: / Symbol:							
05/11/20	1.000	177.98	05/08/20	0.00	...	177.98	Short sale closed- put <sup>25</sup> Option written: 05/05/20
DIS 09/18/2020 CALL \$150.00 / CUSIP: / Symbol:							
08/05/20	1.000	57.98	06/03/20	110.00	...	-52.02	Option sale to close-call <sup>25</sup>
DNKN 04/17/2020 PUT \$50.00 / CUSIP: / Symbol:							
03/20/20	1.000	1,029.96	03/12/20	190.00	...	839.96	Option sale to close-put <sup>25</sup>
DOCU 06/19/2020 CALL \$140.00 / CUSIP: / Symbol:							
06/02/20	1.000	1,469.95	06/02/20	1,640.00	...	-170.05	Option sale to close-call <sup>25</sup>
DOCU 06/19/2020 CALL \$145.00 / CUSIP: / Symbol:							
06/03/20	1.000	142.95	06/02/20	0.00	...	142.95	Short sale closed- call <sup>25</sup> Option written: 06/02/20
DOCU 06/19/2020 PUT \$140.00 / CUSIP: / Symbol:							
06/11/20	1.000	131.98	06/02/20	810.00	...	-678.02	Option sale to close-put <sup>25</sup>
DOCU 06/19/2020 PUT \$145.00 / CUSIP: / Symbol:							
06/12/20	1.000	794.96	06/11/20	0.00	...	794.96	Short sale closed- put <sup>25</sup> Option written: 06/02/20
DOCU 08/21/2020 PUT \$145.00 / CUSIP: / Symbol:							
07/07/20	1.000	98.98	06/23/20	440.00	...	-341.02	Option sale to close-put <sup>25</sup>

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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
DOCU 08/21/2020 PUT \$150.00 / CUSIP: / Symbol:							
07/08/20	1.000	438.97	07/07/20	0.00	...	438.97	Short sale closed- put <sup>25</sup> Option written: 06/23/20
EFA 04/17/2020 PUT \$56.00 / CUSIP: / Symbol:							
04/03/20	1.000	537.97	03/11/20	272.00	...	265.97	Option sale to close-put <sup>25</sup>
04/15/20	1.000	174.98	03/11/20	272.00	...	-97.02	Option sale to close-put <sup>25</sup>
	<b>Security total:</b>	<b>712.95</b>		<b>544.00</b>	...	<b>168.95</b>	
ENPH 03/20/2020 PUT \$30.00 / CUSIP: / Symbol:							
02/19/20	1.000	6.98	02/18/20	75.00	...	-68.02	Option sale to close-put <sup>25</sup>
ENPH 03/20/2020 PUT \$35.00 / CUSIP: / Symbol:							
02/20/20	1.000	171.98	02/19/20	0.00	...	171.98	Short sale closed- put <sup>25</sup> Option written: 02/18/20
ENPH 07/17/2020 PUT \$30.00 / CUSIP: / Symbol:							
06/18/20	1.000	89.98	06/17/20	115.00	...	-25.02	Option sale to close-put <sup>25</sup>
ETSY 04/17/2020 PUT \$40.00 / CUSIP: / Symbol:							
04/17/20	2.000	0.00	03/11/20	190.00	...	-190.00	Option expiration- long put
EURN 06/19/2020 CALL \$10.00 / CUSIP: / Symbol:							
05/06/20	2.000	299.98	05/04/20	560.00	...	-260.02	Option sale to close-call <sup>25</sup>
EWC 04/17/2020 PUT \$22.00 / CUSIP: / Symbol:							
04/17/20	2.000	0.00	03/12/20	460.00	...	-460.00	Option expiration- long put
EWG 04/17/2020 PUT \$22.00 / CUSIP: / Symbol:							
04/03/20	1.000	179.98	03/11/20	100.00	...	79.98	Option sale to close-put <sup>25</sup>
04/15/20	1.000	24.98	03/11/20	100.00	...	-75.02	Option sale to close-put <sup>25</sup>
	<b>Security total:</b>	<b>204.96</b>		<b>200.00</b>	...	<b>4.96</b>	
EWJ 06/19/2020 PUT \$45.00 / CUSIP: / Symbol:							
06/19/20	1.000	0.00	03/23/20	400.00	...	-400.00	Option expiration- long put

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Robinhood Securities LLC

Account 137834040

**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
GE 01/15/2021 CALL \$10.00 / CUSIP: / Symbol:							
11/23/20	1.000	77.98	06/08/20	63.00	...	14.98	Option sale to close-call <sup>25</sup>
	<i>2 transactions for 12/09/20. Total proceeds and cost reported to the IRS.</i>						
	1.000	143.98	06/08/20	63.00	...	80.98	1 of 2 - Option sale to close-call <sup>25</sup>
	1.000	148.98	06/08/20	63.00	...	85.98	2 of 2 - Option sale to close-call <sup>25</sup>
12/09/20	2.000	292.96	Various	126.00	...	166.96	Total of 2 transactions
	<b>Security total:</b>	<b>370.94</b>		<b>189.00</b>	...	<b>181.94</b>	
GILD 01/15/2021 CALL \$90.00 / CUSIP: / Symbol:							
04/21/20	1.000	819.97	03/11/20	600.00	...	219.97	Option sale to close-call <sup>25</sup>
GLD 06/19/2020 CALL \$160.00 / CUSIP: / Symbol:							
05/01/20	1.000	449.98	04/29/20	500.00	...	-50.02	Option sale to close-call <sup>25</sup>
GME 11/06/2020 CALL \$20.00 / CUSIP: / Symbol:							
10/19/20	1.000	49.98	10/19/20	66.00	...	-16.02	Option sale to close-call <sup>25</sup>
GOLD 03/20/2020 PUT \$18.00 / CUSIP: / Symbol:							
02/18/20	1.000	30.98	02/14/20	0.00	...	30.98	Short sale closed- put <sup>25</sup> Option written: 02/10/20
HLT 04/17/2020 PUT \$55.00 / CUSIP: / Symbol:							
04/03/20	1.000	439.98	03/11/20	300.00	...	139.98	Option sale to close-put <sup>25</sup>
HOLX 03/20/2020 CALL \$37.00 / CUSIP: / Symbol:							
03/20/20	2.000	0.00	03/17/20	70.00	...	-70.00	Option expiration- long call
IMAX 04/17/2020 PUT \$10.00 / CUSIP: / Symbol:							
03/18/20	1.000	349.98	03/12/20	120.00	...	229.98	Option sale to close-put <sup>25</sup>
INDA 06/19/2020 PUT \$20.00 / CUSIP: / Symbol:							
06/19/20	2.000	0.00	03/12/20	260.00	...	-260.00	Option expiration- long put
INO 03/20/2020 CALL \$9.00 / CUSIP: / Symbol:							
03/04/20	1.000	149.98	03/04/20	190.00	...	-40.02	Option sale to close-call <sup>25</sup>
03/05/20	1.000	129.98	03/04/20	190.00	...	-60.02	Option sale to close-call <sup>25</sup>
	<b>Security total:</b>	<b>279.96</b>		<b>380.00</b>	...	<b>-100.04</b>	

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Robinhood Securities LLC

Account 137834040

Proceeds from Broker and Barter Exchange Transactions

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

(continued)

02/14/2021

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IWM 05/22/2020 PUT \$120.00 / CUSIP: / Symbol:							
05/13/20	1.000	386.98	05/13/20	318.00	...	68.98	Option sale to close-put <sup>25</sup>
IWM 06/26/2020 PUT \$139.00 / CUSIP: / Symbol:							
06/26/20	1.000	212.98	06/23/20	129.00	...	83.98	Option sale to close-put <sup>25</sup>
IWM 06/26/2020 PUT \$140.00 / CUSIP: / Symbol:							
06/29/20	1.000	-140.02	06/26/20	0.00	...	-140.02	Short sale closed- put <sup>25</sup> Option written: 06/23/20
JBLU 04/17/2020 PUT \$8.00 / CUSIP: / Symbol:							
03/18/20	1.000	174.98	03/13/20	125.00	...	49.98	Option sale to close-put <sup>25</sup>
JETS 03/20/2020 PUT \$24.00 / CUSIP: / Symbol:							
03/16/20	1.000	799.97	02/28/20	190.00	...	609.97	Option sale to close-put <sup>25</sup>
JNJ 08/21/2020 CALL \$160.00 / CUSIP: / Symbol:							
07/15/20	1.000	98.98	06/24/20	59.00	...	39.98	Option sale to close-call <sup>25</sup>
07/21/20	1.000	64.98	06/24/20	59.00	...	5.98	Option sale to close-call <sup>25</sup>
07/23/20	1.000	49.98	06/24/20	59.00	...	-9.02	Option sale to close-call <sup>25</sup>
<b>Security total:</b>		<b>213.94</b>		<b>177.00</b>	...	<b>36.94</b>	
JNJ 08/21/2020 CALL \$170.00 / CUSIP: / Symbol:							
07/16/20	1.000	-4.01	07/15/20	0.00	...	-4.01	Short sale closed- call <sup>25</sup> Option written: 06/24/20
07/22/20	1.000	6.00	07/21/20	0.00	...	6.00	Short sale closed- call <sup>25</sup> Option written: 06/24/20
07/24/20	1.000	10.99	07/23/20	0.00	...	10.99	Short sale closed- call <sup>25</sup> Option written: 06/24/20
<b>Security total:</b>		<b>12.98</b>		<b>0.00</b>	...	<b>12.98</b>	
JNJ 12/18/2020 PUT \$140.00 / CUSIP: / Symbol:							
10/28/20	1.000	704.97	10/27/20	418.00	...	286.97	Option sale to close-put <sup>25</sup>
JNJ 12/18/2020 PUT \$145.00 / CUSIP: / Symbol:							
10/29/20	1.000	-354.03	10/28/20	0.00	...	-354.03	Short sale closed- put <sup>25</sup> Option written: 10/27/20

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Robinhood Securities LLC

Account 137834040

## 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
LH 04/17/2020 CALL \$270.00 / CUSIP: / Symbol:							
04/17/20	1.000	0.00	03/13/20	80.00	...	-80.00	Option expiration- long call
LK 03/20/2020 PUT \$37.00 / CUSIP: / Symbol:							
03/04/20	1.000	249.98	02/28/20	430.00	...	-180.02	Option sale to close-put <sup>25</sup>
LYFT 03/06/2020 PUT \$35.00 / CUSIP: / Symbol:							
03/03/20	1.000	57.98	02/27/20	136.00	...	-78.02	Option sale to close-put <sup>25</sup>
MRNA 04/17/2020 PUT \$17.50 / CUSIP: / Symbol:							
02/26/20	1.000	34.98	02/25/20	0.00	...	34.98	Short sale closed- put <sup>25</sup> Option written: 02/25/20
MSFT 04/17/2020 PUT \$80.00 / CUSIP: / Symbol:							
03/17/20	1.000	89.98	03/16/20	105.00	15.02 W	0.00	Option sale to close-put <sup>25</sup>
04/17/20	1.000	0.00	03/17/20	87.02	...	-87.02	Option expiration- long put
	<b>Security total:</b>	<b>89.98</b>		<b>192.02</b>	<b>15.02 W</b>	<b>-87.02</b>	
MU 04/17/2020 PUT \$30.00 / CUSIP: / Symbol:							
03/18/20	1.000	258.98	03/12/20	154.00	...	104.98	Option sale to close-put <sup>25</sup>
04/17/20	1.000	0.00	03/12/20	154.00	...	-154.00	Option expiration- long put
	<b>Security total:</b>	<b>258.98</b>		<b>308.00</b>	...	<b>-49.02</b>	
NIO 02/14/2020 PUT \$3.50 / CUSIP: / Symbol:							
02/18/20	1.000	10.98	02/14/20	0.00	...	10.98	Short sale closed- put <sup>25</sup> Option written: 02/07/20
NIO 02/21/2020 CALL \$3.00 / CUSIP: / Symbol:							
01/15/20	1.000	124.98	01/10/20	69.00	...	55.98	Option sale to close-call <sup>25</sup>
NIO 02/21/2020 PUT \$3.50 / CUSIP: / Symbol:							
02/18/20	1.000	9.98	02/14/20	0.00	...	9.98	Short sale closed- put <sup>25</sup> Option written: 02/07/20
NIO 10/23/2020 PUT \$27.00 / CUSIP: / Symbol:							
10/22/20	1.000	66.98	10/21/20	0.00	...	66.98	Short sale closed- put <sup>25</sup> Option written: 10/16/20

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Account 137834040

**Proceeds from Broker and Barter Exchange Transactions**

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

(continued)

02/14/2021

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

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NIO 11/06/2020 PUT \$27.00 / CUSIP: / Symbol:							
11/03/20	1.000	71.98	11/02/20	0.00	...	71.98	Short sale closed- put <sup>25</sup> Option written: 10/29/20
NIO 11/20/2020 PUT \$35.00 / CUSIP: / Symbol:							
11/17/20	1.000	87.98	11/16/20	0.00	...	87.98	Short sale closed- put <sup>25</sup> Option written: 11/16/20
NIO 12/18/2020 PUT \$33.00 / CUSIP: / Symbol:							
12/08/20	1.000	41.98	12/07/20	0.00	...	41.98	Short sale closed- put <sup>25</sup> Option written: 12/01/20
NOK 04/17/2020 CALL \$4.00 / CUSIP: / Symbol:							
04/17/20	1.000	0.00	02/07/20	50.00	...	-50.00	Option expiration- long call
PFE 09/18/2020 CALL \$38.00 / CUSIP: / Symbol:							
07/27/20	1.000	137.98	06/04/20	128.00	...	9.98	Option sale to close-call <sup>25</sup>
PFE 09/18/2020 CALL \$40.00 / CUSIP: / Symbol:							
07/27/20	1.000	77.98	06/04/20	73.00	...	4.98	Option sale to close-call <sup>25</sup>
PLTR 11/20/2020 PUT \$17.50 / CUSIP: / Symbol:							
11/20/20	1.000	28.98	11/20/20	0.00	...	28.98	Short sale closed- put expired Option written: 11/19/20
PLUG 02/28/2020 CALL \$6.50 / CUSIP: / Symbol:							
02/21/20	1.000	-24.02	02/20/20	0.00	...	-24.02	Short sale closed- call <sup>25</sup> Option written: 02/19/20
PLUG 03/06/2020 CALL \$5.50 / CUSIP: / Symbol:							
03/06/20	1.000	4.98	03/05/20	0.00	...	4.98	Short sale closed- call <sup>25</sup> Option written: 03/04/20
PLUG 05/15/2020 CALL \$5.00 / CUSIP: / Symbol:							
05/08/20	1.000	0.98	05/07/20	0.00	...	0.98	Short sale closed- call <sup>25</sup> Option written: 05/07/20

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Account 137834040

## 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
QCOM 03/20/2020 PUT \$75.00 / CUSIP: / Symbol: 03/02/20	1.000	249.98	02/27/20	315.00	...	-65.02	Option sale to close-put <sup>25</sup>
QQQ 05/22/2020 PUT \$219.00 / CUSIP: / Symbol: 05/13/20	1.000	588.97	05/13/20	469.00	...	119.97	Option sale to close-put <sup>25</sup>
SLV 01/15/2021 CALL \$20.00 / CUSIP: / Symbol: 07/23/20	1.000	273.98	06/02/20	111.00	...	162.98	Option sale to close-call <sup>25</sup>
SLV 01/15/2021 CALL \$26.00 / CUSIP: / Symbol: 08/11/20	1.000	288.98	08/06/20	380.00	...	-91.02	Option sale to close-call <sup>25</sup>
SPY 03/20/2020 CALL \$245.00 / CUSIP: / Symbol: 03/20/20	1.000	0.00	03/19/20	575.00	...	-575.00	Option expiration- long call
SPY 03/23/2020 PUT \$190.50 / CUSIP: / Symbol: 03/23/20	1.000	0.00	03/17/20	77.00	...	-77.00	Option expiration- long put
SPY 04/13/2020 PUT \$200.00 / CUSIP: / Symbol: 03/23/20	1.000	570.97	03/16/20	610.00	...	-39.03	Option sale to close-put <sup>25</sup>
SPY 04/17/2020 CALL \$265.00 / CUSIP: / Symbol: 04/06/20	1.000	786.96	04/03/20	0.00	...	786.96	Short sale closed- call <sup>25</sup> Option written: 03/27/20
SPY 04/17/2020 CALL \$270.00 / CUSIP: / Symbol: 04/03/20	1.000	72.98	03/27/20	708.00	...	-635.02	Option sale to close-call <sup>25</sup>
SPY 04/24/2020 CALL \$277.00 / CUSIP: / Symbol: 04/23/20	1.000	569.97	04/23/20	572.00	...	-2.03	Option sale to close-call <sup>25</sup>
SPY 04/24/2020 CALL \$290.00 / CUSIP: / Symbol: 04/17/20	1.000	316.98	04/14/20	315.00	...	1.98	Option sale to close-call <sup>25</sup>
SPY 04/24/2020 CALL \$300.00 / CUSIP: / Symbol: 04/20/20	1.000	11.98	04/17/20	0.00	...	11.98	Short sale closed- call <sup>25</sup> Option written: 04/14/20

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Account 137834040

**Proceeds from Broker and Barter Exchange Transactions**

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

(continued)

02/14/2021

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SPY 05/01/2020 CALL \$260.00 / CUSIP: / Symbol:							
2 transactions for 04/28/20. Total proceeds and cost reported to the IRS.							
	1.000	-1,932.03	04/27/20	0.00	...	-1,932.03	1 of 2 - Short sale closed- call <sup>25</sup> Option written: 04/01/20
	1.000	-1,932.02	04/27/20	0.00	...	-1,932.02	2 of 2 - Short sale closed- call <sup>25</sup> Option written: 04/01/20
04/28/20	2.000	-3,864.05	Various	0.00	...	-3,864.05	Total of 2 transactions
SPY 05/01/2020 CALL \$265.00 / CUSIP: / Symbol:							
2 transactions for 04/27/20. Total proceeds and cost reported to the IRS.							
	1.000	2,157.94	04/01/20	520.00	...	1,637.94	1 of 2 - Option sale to close-call <sup>25</sup> Option written: 04/01/20
	1.000	2,157.94	04/01/20	520.00	...	1,637.94	2 of 2 - Option sale to close-call <sup>25</sup>
04/27/20	2.000	4,315.88	Various	1,040.00	...	3,275.88	Total of 2 transactions
SPY 05/01/2020 PUT \$250.00 / CUSIP: / Symbol:							
05/01/20	1.000	1,450.95	05/01/20	0.00	...	1,450.95	Short sale closed- put expired Option written: 04/01/20
SPY 05/01/2020 PUT \$260.00 / CUSIP: / Symbol:							
05/01/20	1.000	0.00	04/01/20	1,911.00	...	-1,911.00	Option expiration- long put
SPY 05/15/2020 CALL \$255.00 / CUSIP: / Symbol:							
05/11/20	1.000	-2,648.04	05/08/20	0.00	...	-2,648.04	Short sale closed- call <sup>25</sup> Option written: 04/03/20
SPY 05/15/2020 CALL \$265.00 / CUSIP: / Symbol:							
05/08/20	1.000	2,624.93	04/03/20	527.00	...	2,097.93	Option sale to close-call <sup>25</sup>
SPY 06/19/2020 CALL \$270.00 / CUSIP: / Symbol:							
05/27/20	1.000	-2,126.04	05/26/20	0.00	...	-2,126.04	Short sale closed- call <sup>25</sup> Option written: 04/06/20
SPY 06/19/2020 CALL \$280.00 / CUSIP: / Symbol:							
05/26/20	1.000	2,321.93	04/06/20	654.00	...	1,667.93	Option sale to close-call <sup>25</sup>

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Account 137834040

## Proceeds from Broker and Barter Exchange Transactions

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

(continued)

02/14/2021

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"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
SPY 07/17/2020 CALL \$275.00 / CUSIP: / Symbol: 05/27/20	1.000	-1,287.05	05/26/20	0.00	...	-1,287.05	Short sale closed- call <sup>25</sup> Option written: 04/07/20
SPY 07/17/2020 CALL \$285.00 / CUSIP: / Symbol: 05/26/20	1.000	2,132.94	04/07/20	1,139.00	...	993.94	Option sale to close-call <sup>25</sup>
SPY 11/06/2020 CALL \$335.00 / CUSIP: / Symbol: 11/06/20	1.000	-1,240.02	11/05/20	0.00	...	-1,240.02	Short sale closed- call <sup>25</sup> Option written: 11/02/20
SPY 11/06/2020 CALL \$340.00 / CUSIP: / Symbol: 11/05/20	1.000	1,104.96	11/02/20	173.00	...	931.96	Option sale to close-call <sup>25</sup>
SPY 11/20/2020 PUT \$325.00 / CUSIP: / Symbol: 11/09/20	1.000	794.96	11/06/20	0.00	...	794.96	Short sale closed- put <sup>25</sup> Option written: 11/02/20
SPY 11/20/2020 PUT \$330.00 / CUSIP: / Symbol: 11/06/20	1.000	189.98	11/02/20	1,135.00	...	-945.02	Option sale to close-put <sup>25</sup>
SPY 12/04/2020 PUT \$300.00 / CUSIP: / Symbol: 11/03/20	1.000	298.98	10/26/20	246.00	...	52.98	Option sale to close-put <sup>25</sup>
SRNE 06/19/2020 CALL \$6.00 / CUSIP: / Symbol: 05/15/20	1.000	299.98	05/15/20	370.00	...	-70.02	Option sale to close-call <sup>25</sup>
STNG 05/15/2020 CALL \$25.00 / CUSIP: / Symbol: 05/07/20	2.000	455.97	05/06/20	0.00	...	455.97	Short sale closed- call <sup>25</sup> Option written: 05/04/20
05/08/20	1.000	149.98	05/07/20	0.00	...	149.98	Short sale closed- call <sup>25</sup> Option written: 05/05/20
<b>Security total:</b>		<b>605.95</b>		<b>0.00</b>	...	<b>605.95</b>	
STNG 05/15/2020 CALL \$30.00 / CUSIP: / Symbol: 05/06/20	2.000	17.98	05/04/20	304.00	...	-286.02	Option sale to close-call <sup>25</sup>

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Robinhood Securities LLC

Account 137834040

## 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
STNG 05/15/2020 PUT \$20.00 / CUSIP: / Symbol:							
05/06/20	2.000	403.98	05/04/20	436.00	...	-32.02	Option sale to close-put <sup>25</sup>
STNG 05/15/2020 PUT \$25.00 / CUSIP: / Symbol:							
05/07/20	2.000	-144.04	05/06/20	0.00	...	-144.04	Short sale closed- put <sup>25</sup> Option written: 05/04/20
T 04/17/2020 PUT \$34.00 / CUSIP: / Symbol:							
03/23/20	1.000	779.97	03/11/20	210.00	...	569.97	Option sale to close-put <sup>25</sup>
TEVA 02/28/2020 PUT \$12.00 / CUSIP: / Symbol:							
03/02/20	1.000	-57.02	02/28/20	0.00	...	-57.02	Short sale closed- put <sup>25</sup> Option written: 02/25/20
TEVA 03/20/2020 PUT \$10.00 / CUSIP: / Symbol:							
02/13/20	1.000	13.98	02/12/20	0.00	...	13.98	Short sale closed- put <sup>25</sup> Option written: 02/10/20
TSLA 03/27/2020 PUT \$200.00 / CUSIP: / Symbol:							
03/19/20	1.000	349.98	03/12/20	100.00	...	249.98	Option sale to close-put <sup>25</sup>
UBER 02/21/2020 PUT \$34.50 / CUSIP: / Symbol:							
02/21/20	1.000	0.00	02/05/20	97.00	...	-97.00	Option expiration- long put
UBER 03/06/2020 PUT \$35.00 / CUSIP: / Symbol:							
02/26/20	1.000	88.98	02/25/20	34.00	...	54.98	Option sale to close-put <sup>25</sup>
UBER 05/08/2020 CALL \$30.00 / CUSIP: / Symbol:							
05/08/20	1.000	-15.02	05/07/20	0.00	...	-15.02	Short sale closed- call <sup>25</sup> Option written: 04/27/20
UBER 05/08/2020 CALL \$33.00 / CUSIP: / Symbol:							
05/11/20	1.000	40.98	05/08/20	0.00	...	40.98	Short sale closed- call <sup>25</sup> Option written: 05/07/20
UBER 05/15/2020 CALL \$30.00 / CUSIP: / Symbol:							
05/07/20	1.000	243.98	04/27/20	218.00	...	25.98	Option sale to close-call <sup>25</sup>

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Robinhood Securities LLC

Account 137834040

## 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
UBER 05/15/2020 CALL \$31.50 / CUSIP: / Symbol:							
05/08/20	1.000	199.98	05/07/20	155.00	...	44.98	Option sale to close-call <sup>25</sup>
UBER 05/15/2020 CALL \$33.00 / CUSIP: / Symbol:							
05/08/20	1.000	76.98	05/07/20	96.00	...	-19.02	Option sale to close-call <sup>25</sup>
UBER 05/15/2020 PUT \$25.00 / CUSIP: / Symbol:							
05/08/20	1.000	7.98	05/07/20	45.00	...	-37.02	Option sale to close-put <sup>25</sup>
ULTA 04/17/2020 PUT \$95.00 / CUSIP: / Symbol:							
04/17/20	1.000	0.00	03/18/20	580.00	...	-580.00	Option expiration- long put
UPS 11/20/2020 CALL \$170.00 / CUSIP: / Symbol:							
10/30/20	1.000	149.98	10/13/20	1,200.00	...	-1,050.02	Option sale to close-call <sup>25</sup>
UPS 11/20/2020 CALL \$175.00 / CUSIP: / Symbol:							
11/02/20	1.000	829.96	10/30/20	0.00	...	829.96	Short sale closed- call <sup>25</sup> Option written: 10/13/20
WORK 06/19/2020 PUT \$35.00 / CUSIP: / Symbol:							
06/10/20	2.000	679.97	06/03/20	252.00	...	427.97	Option sale to close-put <sup>25</sup>
WORK 06/19/2020 PUT \$38.00 / CUSIP: / Symbol:							
06/11/20	2.000	-728.03	06/10/20	0.00	...	-728.03	Short sale closed- put <sup>25</sup> Option written: 06/03/20
Z 05/15/2020 PUT \$15.00 / CUSIP: / Symbol:							
05/15/20	1.000	0.00	03/13/20	195.00	...	-195.00	Option expiration- long put
ABBOTT LABORATORIES / CUSIP: 002824100 / Symbol:							
03/18/20	2.000	162.00	06/19/19	167.64	...	-5.64	Sale <sup>25</sup>
DATADOG, INC. CLASS A COMMON S TOCK / CUSIP: 23804L103 / Symbol:							
11/02/20	5.000	448.44	06/23/20	461.13	...	-12.69	Sale <sup>25</sup>

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Robinhood Securities LLC

Account 137834040

## 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
ENPHASE ENERGY, INC. COMMON STOCK / CUSIP: 29355A107 / Symbol:							
03/12/20	20.000	677.31	10/31/19	379.40	...	297.91	Sale <sup>25</sup>
03/18/20	19.000	497.36	10/31/19	360.43	...	136.93	Sale <sup>25</sup>
	<b>Security total:</b>	<b>1,174.67</b>		<b>739.83</b>	...	<b>434.84</b>	
FITBIT, INC. CLASS A COMMON STOCK / CUSIP: 33812L102 / Symbol:							
02/11/20	100.000	656.47	10/28/19	567.00	...	89.47	Sale <sup>25</sup>
LUCKIN COFFEE INC AMERICAN DEPOSITARY SHARES - SPONSORED / CUSIP: 54951L109 / Symbol:							
05/20/20	100.000	270.99	04/03/20	600.00	...	-329.01	Sale <sup>25</sup>
PELTON INTERACTIVE, INC. CLASS A COMMON STOCK / CUSIP: 70614W100 / Symbol:							
11/16/20	1.000	97.07	07/13/20	69.18	...	27.89	Sale <sup>25</sup>
PLUG POWER, INC. COMMON STOCK / CUSIP: 72919P202 / Symbol:							
	2 transactions for 05/14/20. Total proceeds and cost reported to the IRS.						
	51.000	196.85	02/19/20	261.12	...	-64.27	1 of 2 - Sale <sup>25</sup>
	48.000	185.28	02/19/20	245.76	...	-60.48	2 of 2 - Sale <sup>25</sup>
05/14/20	99.000	382.13	Various	506.88	...	-124.75	Total of 2 transactions
UBER TECHNOLOGIES, INC. / CUSIP: 90353T100 / Symbol:							
11/16/20	2.000	97.42	12/16/19	59.99	...	37.43	Sale <sup>25</sup>
WASTE MANAGEMENT, INC. / CUSIP: 94106L109 / Symbol:							
03/17/20	1.000	108.30	10/31/19	111.78	...	-3.48	Sale <sup>25</sup>
SCORPIO TANKERS INC. / CUSIP: Y7542C130 / Symbol:							
05/07/20	100.000	1,879.07	05/05/20	2,179.99	...	-300.92	Sale <sup>25</sup>
<b>Totals :</b>		<b>40,948.00</b>		<b>44,107.44</b>	<b>15.02 W</b>	<b>-3,144.42</b>	

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Robinhood Securities LLC

Account 137834040

## Proceeds from Broker and Barter Exchange Transactions

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

(continued)

02/14/2021

**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
ALIBABA GROUP HOLDING LIMITED AMERICAN DEPOSITORY SHARES, EA CH REPRESENTS EIGHT ORDINARY S / CUSIP: 01609W102 / Symbol:							
2 transactions for 12/28/20. Total proceeds and cost reported to the IRS.							
	3.000	647.58	10/17/18	446.43	...	201.15	1 of 2 - Sale <sup>25</sup>
	3.000	647.58	11/01/18	452.10	...	195.48	2 of 2 - Sale <sup>25</sup>
12/28/20	6.000	1,295.16	Various	898.53	...	396.63	Total of 2 transactions
APPLE INC. COMMON STOCK / CUSIP: 037833100 / Symbol:							
03/13/20	1.000	258.35	07/25/18	193.06	...	65.29	Sale <sup>25</sup>
BOSTON SCIENTIFIC CORP. / CUSIP: 101137107 / Symbol:							
07/13/20	5.000	175.16	07/02/19	213.20	...	-38.04	Sale <sup>25</sup>
GENERAL ELECTRIC COMPANY / CUSIP: 369604103 / Symbol:							
12/09/20	10.000	112.33	07/02/19	106.80	...	5.53	Sale <sup>25</sup>
MICROSOFT CORPORATION COMMON S TOCK / CUSIP: 594918104 / Symbol:							
03/12/20	5.000	718.09	12/26/18	501.93	...	216.16	Sale <sup>25</sup>
03/18/20	1.000	140.82	12/26/18	100.39	...	40.43	Sale <sup>25</sup>
	<b>Security total:</b>	<b>858.91</b>		<b>602.32</b>	...	<b>256.59</b>	
TWITTER, INC. / CUSIP: 90184L102 / Symbol:							
12/23/20	15.000	819.43	12/16/19	460.58	...	358.85	Sale <sup>25</sup>
<b>Totals :</b>		<b>3,519.34</b>		<b>2,474.49</b>		<b>1,044.85</b>	

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Robinhood Securities LLC

Account 137834040

## Detail for Dividends and Distributions

2020

02/14/2021

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

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

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

Security description	CUSIP and/or symbol	State	Date	Amount	Transaction type	Notes
ABBOTT LABORATORIES	002824100		02/14/20	1.08	Qualified dividend	
			05/15/20	0.36	Qualified dividend	
			08/17/20	0.36	Qualified dividend	
			11/16/20	0.36	Qualified dividend	
				<b>2.16</b>	<b>Total Dividends &amp; distributions</b>	
APPLE INC. COMMON STOCK	037833100		02/13/20	4.62	Qualified dividend	
			05/14/20	4.10	Qualified dividend	
			08/13/20	4.10	Qualified dividend	
			11/12/20	4.10	Qualified dividend	
	<b>16.92</b>	<b>Total Dividends &amp; distributions</b>				
THE WALT DISNEY COMPANY	254687106		01/16/20	12.32	Qualified dividend	
ETFMG ALTERNATIVE HARVEST ETF	26924G508		06/18/20	1.38	Nonqualified dividend	03
			06/18/20	0.60	Qualified dividend	03
			06/18/20	-0.02	Foreign tax withheld-Variou	03
			09/18/20	0.88	Nonqualified dividend	03
			09/18/20	0.39	Qualified dividend	03
			09/18/20	-0.01	Foreign tax withheld-Variou	03
			12/17/20	0.49	Nonqualified dividend	03
			12/17/20	0.22	Qualified dividend	03
			12/17/20	-0.01	Foreign tax withheld-Variou	03
	<b>3.96</b>	<b>Total Dividends &amp; distributions</b>				
	<b>-0.04</b>	<b>Total Foreign tax withheld</b>				
GENERAL ELECTRIC COMPANY	369604103		01/27/20	0.10	Qualified dividend	
			04/27/20	0.10	Qualified dividend	
			07/27/20	0.10	Qualified dividend	
			10/26/20	0.10	Qualified dividend	
	<b>0.40</b>	<b>Total Dividends &amp; distributions</b>				

Robinhood Securities LLC

Account 137834040

## Detail for Dividends and Distributions

2020

(continued)

02/14/2021

Security description	CUSIP and/or symbol	State	Date	Amount	Transaction type	Notes
MICROSOFT CORPORATION COMMON S TOCK	594918104		03/12/20	5.61	Qualified dividend	
			06/11/20	2.55	Qualified dividend	
			09/10/20	2.55	Qualified dividend	
			12/10/20	2.80	Qualified dividend	
				<b>13.51</b>	<b>Total Dividends &amp; distributions</b>	
TENCENT HOLDINGS LIMITED UNSPO NSORED ADR REPRESENTING B SHAR ES (CAYMAN ISLANDS)	88032Q109		06/15/20	0.62	Nonqualified dividend	
WASTE MANAGEMENT, INC.	94106L109		03/20/20	1.64	Qualified dividend	
			06/19/20	1.09	Qualified dividend	
			09/18/20	1.09	Qualified dividend	
			12/18/20	1.09	Qualified dividend	
				<b>4.91</b>	<b>Total Dividends &amp; distributions</b>	
DHT HOLDINGS, INC.	Y2065G121		05/26/20	35.00	Qualified dividend	03
			09/02/20	48.00	Qualified dividend	03
			11/25/20	20.00	Qualified dividend	03
				<b>103.00</b>	<b>Total Dividends &amp; distributions</b>	
				<b>157.80</b>	<b>Total Dividends &amp; distributions</b>	
				<b>-0.04</b>	<b>Total Foreign tax withheld</b>	

Robinhood Securities LLC

Account 137834040

## Detail for Miscellaneous Income

2020

02/14/2021

<u>Security description</u>	<u>CUSIP and/or symbol</u>	<u>Date</u>	<u>Amount</u>	<u>Transaction type</u>	<u>Notes</u>
ETFMG ALTERNATIVE HARVEST ETF	26924G508	03/20/20	0.70	Substitute payment	
			<b>0.70</b>	<b>Total Miscellaneous income</b>	

Robinhood Securities LLC

Account 137834040

**Fees and Expenses**

2020

02/14/2021

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

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

Description	CUSIP and/or symbol	Date	Amount	Transaction type	Notes
		03/16/20	-0.33	Margin interest paid	
		04/14/20	-0.20	Margin interest paid	
		06/15/20	-5.00	Margin interest paid	
		07/13/20	-5.00	Margin interest paid	
		07/14/20	0.01	Adj- Margin interest paid	
		08/12/20	-5.00	Margin interest paid	
		09/11/20	-5.00	Margin interest paid	
		10/12/20	-5.00	Margin interest paid	
		11/10/20	-5.00	Margin interest paid	
		12/10/20	-5.00	Margin interest paid	
			-35.52	Total Margin interest paid	
			<b>-35.52</b>	<b>Total Margin interest paid</b>	

Robinhood Securities LLC

Account 137834040

**Mutual Fund and UIT Supplemental Information**

2020

02/14/2021

*The following information may be useful in the preparation of your federal and state income tax return(s). This information represents what was available at the time your tax statement was prepared. It may not be all inclusive and is subject to change. Please contact your mutual fund or UIT directly if you need to verify or supplement this information. Note that depending on your state of residence not all Federal Source income is exempt from state taxation. You may wish to consult with your tax advisor, the IRS or your state tax authority regarding the proper treatment.*

**ETFMG ALTERNATIVE HARVEST ETF / 26924G508****FOREIGN SOURCE INCOME PERCENTAGES**

Fgn Source Inc Tot	6.58%	Fgn Source Inc Qual	0.00%	Fgn Source Inc Adj	0.00%
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Robinhood Securities LLC

Account 137834040

## Foreign Income and Taxes Summary

2020

02/14/2021

This schedule lists all income and foreign tax by country. Mutual Funds and Unit Investment Trusts (UITs) structured as Regulated Investment Companies (RICs) are listed separately with a country designation of "RIC."

Country	Security Description	CUSIP	Nonqualified	Dividends		Interest	Total Income	Tax
				Qualified				
	ETFMG ALTERNATIVE HARVEST ETF	26924G508	2.75	1.21		0.00	3.96	-0.04
<b>Total</b>			<b>2.75</b>	<b>1.21</b>		<b>0.00</b>	<b>3.96</b>	<b>-0.04</b>
BD	DHT HOLDINGS, INC.	Y2065G121	0.00	103.00		0.00	103.00	0.00
<b>Total BERMUDA</b>			<b>0.00</b>	<b>103.00</b>		<b>0.00</b>	<b>103.00</b>	<b>0.00</b>
CH	TENCENT HOLDINGS LIMITED UNSPO NSORED ADR REPRESENTING B SHAR ES (CAYMAN ISLANDS)	88032Q109	0.62	0.00		0.00	0.62	0.00
<b>Total CHINA</b>			<b>0.62</b>	<b>0.00</b>		<b>0.00</b>	<b>0.62</b>	<b>0.00</b>
<b>Grand Total</b>	<b>Total Foreign Source Income*</b>						<b>107.58</b>	
	<b>Qualified Foreign Source Income**</b>						<b>104.21</b>	
	<b>Foreign Tax</b>							<b>-0.04</b>

\* Total Foreign Source Income utilizes the "Total" column for RICs which may not always be supplied.

\*\* Qualified Foreign Source Income utilizes the "Qualified" column for RICs which may not always be supplied.



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

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

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**Common Instructions for Recipient**

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

**Instructions for Recipient**

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

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

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

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

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

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

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

**1099-B Instructions for Recipient**

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

**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.