



Robinhood Securities LLC

Account 531495802

**Summary Information**

2021

(continued)

02/11/2022

**INTEREST INCOME**

2021 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	0.00
Fees & Expenses- Dividends paid on short position	0.00
Fees & Expenses- Interest paid on short position	0.00
Fees & Expenses- Non reportable distribution expense	0.00
Fees & Expenses- Other expenses	0.00
Fees & Expenses- Severance tax	0.00
Fees & Expenses- Organizational expense	0.00
Fees & Expenses- Miscellaneous fees	0.00
Fees & Expenses- Tax-exempt investment expense	0.00
Foreign Exchange Gains & Losses- Foreign currency gain/loss	0.00

Robinhood Securities LLC

Account 531495802

**Proceeds from Broker and Barter Exchange Transactions**

2021 1099-B\* OMB No. 1545-0715

02/11/2022

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
AAP 11/19/2021 CALL \$250.00 / CUSIP: / Symbol:							
11/19/21	1.000	0.00	11/15/21	390.00	...	-390.00	Option expiration- long call
AAP 11/19/2021 PUT \$240.00 / CUSIP: / Symbol:							
11/16/21	1.000	419.98	11/15/21	630.00	...	-210.02	Option sale to close-put <sup>25</sup>
AFRM 11/19/2021 CALL \$165.00 / CUSIP: / Symbol:							
3 transactions for 11/11/21. Total proceeds and cost reported to the IRS.							
	1.000	479.99	11/10/21	895.01	...	-415.02	1 of 3 - Option sale to close-call <sup>25</sup>
	1.000	479.99	11/10/21	285.00	...	194.99	2 of 3 - Option sale to close-call <sup>25</sup>
	8.000	3,839.96	11/10/21	2,280.00	...	1,559.96	3 of 3 - Option sale to close-call <sup>25</sup>
11/11/21	10.000	4,799.94	Various	3,460.01	...	1,339.93	Total of 3 transactions
11/11/21	1.000	479.99	11/08/21	1,090.00	610.01 W	0.00	Option sale to close-call <sup>25</sup>
	<b>Security total:</b>	<b>5,279.93</b>		<b>4,550.01</b>	<b>610.01 W</b>	<b>1,339.93</b>	

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Account 531495802

## Proceeds from Broker and Barter Exchange Transactions

2021 1099-B\* OMB No. 1545-0715

(continued)

02/11/2022

**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
AMAT 11/26/2021 CALL \$160.00 / CUSIP: / Symbol:							
11/26/21	2.000	0.00	11/18/21	782.00	...	-782.00	Option expiration- long call
AMAT 11/26/2021 PUT \$155.00 / CUSIP: / Symbol:							
11/19/21	2.000	839.98	11/18/21	714.00	...	125.98	Option sale to close-put <sup>25</sup>
AMC 11/12/2021 CALL \$45.00 / CUSIP: / Symbol:							
11/12/21	3.000	0.00	11/08/21	1,005.00	...	-1,005.00	Option expiration- long call
ASAN 07/16/2021 CALL \$62.50 / CUSIP: / Symbol:							
2 transactions for 06/28/21. Total proceeds and cost reported to the IRS.							
	1.000	439.98	06/25/21	340.00	...	99.98	1 of 2 - Option sale to close-call <sup>25</sup>
	1.000	439.98	06/25/21	340.00	...	99.98	2 of 2 - Option sale to close-call <sup>25</sup>
06/28/21	2.000	879.96	Various	680.00	...	199.96	Total of 2 transactions
BB 02/05/2021 CALL \$20.00 / CUSIP: / Symbol:							
01/27/21	1.000	689.97	01/26/21	280.00	...	409.97	Option sale to close-call <sup>25</sup>
BEST 07/16/2021 CALL \$2.50 / CUSIP: / Symbol:							
4 transactions for 06/25/21. Total proceeds and cost reported to the IRS.							
	21.000	209.95	06/25/21	315.00	...	-105.05	1 of 4 - Option sale to close-call <sup>25</sup>
	5.000	49.99	06/25/21	75.00	...	-25.01	2 of 4 - Option sale to close-call <sup>25</sup>
	3.000	29.99	06/25/21	45.00	...	-15.01	3 of 4 - Option sale to close-call <sup>25</sup>
	1.000	10.00	06/25/21	15.00	...	-5.00	4 of 4 - Option sale to close-call <sup>25</sup>
06/25/21	30.000	299.93	Various	450.00	...	-150.07	Total of 4 transactions
CAT 07/23/2021 CALL \$220.00 / CUSIP: / Symbol:							
07/19/21	6.000	53.98	07/14/21	612.00	...	-558.02	Option sale to close-call <sup>25</sup>
CCIV 05/21/2021 CALL \$23.50 / CUSIP: / Symbol:							
05/04/21	5.000	224.98	04/26/21	1,155.00	...	-930.02	Option sale to close-call <sup>25</sup>
CCIV 06/11/2021 CALL \$21.00 / CUSIP: / Symbol:							
06/02/21	9.000	1,781.97	05/21/21	909.00	...	872.97	Option sale to close-call <sup>25</sup>
CHPT 04/09/2021 CALL \$22.00 / CUSIP: / Symbol:							
04/01/21	5.000	3,949.96	03/24/21	720.00	...	3,229.96	Option sale to close-call <sup>25</sup>

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## Proceeds from Broker and Barter Exchange Transactions

2021 1099-B\* OMB No. 1545-0715

(continued)

02/11/2022

**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
CHPT 04/30/2021 CALL \$23.00 / CUSIP: / Symbol:							
04/23/21	7.000	1,259.98	04/15/21	987.00	...	272.98	Option sale to close-call <sup>25</sup>
CHPT 05/07/2021 CALL \$23.00 / CUSIP: / Symbol:							
04/23/21	1.000	220.98	04/15/21	183.00	...	37.98	Option sale to close-call <sup>25</sup>
CPNG 12/17/2021 CALL \$35.00 / CUSIP: / Symbol:							
12/17/21	40.000	0.00	11/09/21	2,920.00	...	-2,920.00	Option expiration- long call
DASH 11/12/2021 PUT \$170.00 / CUSIP: / Symbol:							
11/12/21	1.000	0.00	11/09/21	323.00	...	-323.00	Option expiration- long put
FUBO 02/19/2021 CALL \$50.00 / CUSIP: / Symbol:							
	2 transactions for 02/18/21. Total proceeds and cost reported to the IRS.						
	4.000	35.98	02/10/21	1,112.00	...	-1,076.02	1 of 2 - Option sale to close-call <sup>25</sup>
	1.000	8.98	02/10/21	278.00	...	-269.02	2 of 2 - Option sale to close-call <sup>25</sup>
02/18/21	5.000	44.96	Various	1,390.00	...	-1,345.04	Total of 2 transactions
FUTU 12/03/2021 CALL \$60.00 / CUSIP: / Symbol:							
	3 transactions for 11/24/21. Total proceeds and cost reported to the IRS.						
	2.000	419.99	11/23/21	440.00	...	-20.01	1 of 3 - Option sale to close-call <sup>25</sup>
	2.000	419.99	11/23/21	440.00	...	-20.01	2 of 3 - Option sale to close-call <sup>25</sup>
	1.000	210.00	11/23/21	220.00	...	-10.00	3 of 3 - Option sale to close-call <sup>25</sup>
11/24/21	5.000	1,049.98	Various	1,100.00	...	-50.02	Total of 3 transactions
GMBL 02/19/2021 CALL \$12.50 / CUSIP: / Symbol:							
02/09/21	3.000	704.97	02/08/21	330.00	...	374.97	Option sale to close-call <sup>25</sup>
HD 11/26/2021 CALL \$375.00 / CUSIP: / Symbol:							
11/15/21	1.000	569.98	11/15/21	570.00	...	-0.02	Option sale to close-call <sup>25</sup>
INO 05/14/2021 CALL \$7.00 / CUSIP: / Symbol:							
	2 transactions for 05/14/21. Total proceeds and cost reported to the IRS.						
	3.000	0.00	04/23/21	183.00	...	-183.00	1 of 2 - Option expiration- long call
	1.000	0.00	04/23/21	71.00	...	-71.00	2 of 2 - Option expiration- long call
05/14/21	4.000	0.00	Various	254.00	...	-254.00	Total of 2 transactions

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## Proceeds from Broker and Barter Exchange Transactions

2021 1099-B\* OMB No. 1545-0715

(continued)

02/11/2022

**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
NIO 04/16/2021 CALL \$42.00 / CUSIP: / Symbol:							
2 transactions for 04/13/21. Total proceeds and cost reported to the IRS.							
	3.000	35.98	04/01/21	525.00	...	-489.02	1 of 2 - Option sale to close-call <sup>25</sup>
	1.000	11.98	04/01/21	338.00	...	-326.02	2 of 2 - Option sale to close-call <sup>25</sup>
04/13/21	4.000	47.96	Various	863.00	...	-815.04	Total of 2 transactions
04/13/21	1.000	12.00	04/01/21	175.00	163.00 W	0.00	Option sale to close-call <sup>25</sup>
	<b>Security total:</b>	<b>59.96</b>		<b>1,038.00</b>	<b>163.00 W</b>	<b>-815.04</b>	
NIO 11/12/2021 CALL \$45.00 / CUSIP: / Symbol:							
11/12/21	10.000	0.00	11/08/21	1,280.00	...	-1,280.00	Option expiration- long call
NOK 01/29/2021 CALL \$6.50 / CUSIP: / Symbol:							
6 transactions for 01/27/21. Total proceeds and cost reported to the IRS.							
	1.000	201.99	01/27/21	72.00	...	129.99	1 of 6 - Option sale to close-call <sup>25</sup>
	1.000	201.99	01/27/21	72.00	...	129.99	2 of 6 - Option sale to close-call <sup>25</sup>
	1.000	202.00	01/27/21	72.00	...	130.00	3 of 6 - Option sale to close-call <sup>25</sup>
	1.000	201.99	01/27/21	71.00	...	130.99	4 of 6 - Option sale to close-call <sup>25</sup>
	3.000	605.98	01/27/21	216.00	...	389.98	5 of 6 - Option sale to close-call <sup>25</sup>
	3.000	605.98	01/27/21	216.00	...	389.98	6 of 6 - Option sale to close-call <sup>25</sup>
01/27/21	10.000	2,019.93	Various	719.00	...	1,300.93	Total of 6 transactions
NVDA 11/26/2021 CALL \$300.00 / CUSIP: / Symbol:							
11/18/21	1.000	2,823.97	11/17/21	881.00	...	1,942.97	Option sale to close-call <sup>25</sup>
NVDA 11/26/2021 PUT \$290.00 / CUSIP: / Symbol:							
11/18/21	1.000	102.98	11/17/21	997.00	...	-894.02	Option sale to close-put <sup>25</sup>
PATH 12/17/2021 CALL \$50.00 / CUSIP: / Symbol:							
12/17/21	2.000	0.00	12/08/21	590.00	...	-590.00	Option expiration- long call
PLTR 04/01/2021 CALL \$28.50 / CUSIP: / Symbol:							
4 transactions for 03/31/21. Total proceeds and cost reported to the IRS.							
	2.000	1.98	03/16/21	270.00	...	-268.02	1 of 4 - Option sale to close-call <sup>25</sup>
	1.000	0.98	03/16/21	135.00	...	-134.02	2 of 4 - Option sale to close-call <sup>25</sup>

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## Proceeds from Broker and Barter Exchange Transactions

2021 1099-B\* OMB No. 1545-0715

(continued)

02/11/2022

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

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
PLTR 04/01/2021 CALL \$28.50 / CUSIP: / Symbol: (cont'd)							
	1.000	0.98	03/16/21	135.00	...	-134.02	3 of 4 - Option sale to close-call <sup>25</sup>
	1.000	0.98	03/16/21	135.00	...	-134.02	4 of 4 - Option sale to close-call <sup>25</sup>
03/31/21	5.000	4.92	Various	675.00	...	-670.08	Total of 4 transactions
PLTR 04/23/2021 CALL \$24.00 / CUSIP: / Symbol:							
04/19/21	1.000	11.98	03/31/21	108.00	...	-96.02	Option sale to close-call <sup>25</sup>
PLTR 04/23/2021 CALL \$25.00 / CUSIP: / Symbol:							
5 transactions for 04/13/21. Total proceeds and cost reported to the IRS.							
	1.000	144.98	04/05/21	99.00	...	45.98	1 of 5 - Option sale to close-call <sup>25</sup>
	1.000	144.98	04/05/21	99.00	...	45.98	2 of 5 - Option sale to close-call <sup>25</sup>
	3.000	434.98	04/05/21	297.00	...	137.98	3 of 5 - Option sale to close-call <sup>25</sup>
	5.000	724.98	04/05/21	450.00	...	274.98	4 of 5 - Option sale to close-call <sup>25</sup>
	10.000	1,449.97	04/05/21	990.00	...	459.97	5 of 5 - Option sale to close-call <sup>25</sup>
04/13/21	20.000	2,899.89	Various	1,935.00	...	964.89	Total of 5 transactions
04/20/21	9.000	44.97	04/05/21	810.00	...	-765.03	Option sale to close-call <sup>25</sup>
	<b>Security total:</b>	<b>2,944.86</b>		<b>2,745.00</b>	...	<b>199.86</b>	
PLUG 07/16/2021 CALL \$34.00 / CUSIP: / Symbol:							
06/28/21	6.000	977.98	06/23/21	1,110.00	...	-132.02	Option sale to close-call <sup>25</sup>
PTON 11/12/2021 PUT \$80.00 / CUSIP: / Symbol:							
3 transactions for 11/05/21. Total proceeds and cost reported to the IRS.							
	1.000	2,284.97	11/04/21	325.00	...	1,959.97	1 of 3 - Option sale to close-put <sup>25</sup>
	1.000	2,284.97	11/04/21	325.00	...	1,959.97	2 of 3 - Option sale to close-put <sup>25</sup>
	1.000	2,284.97	11/04/21	325.00	...	1,959.97	3 of 3 - Option sale to close-put <sup>25</sup>
11/05/21	3.000	6,854.91	Various	975.00	...	5,879.91	Total of 3 transactions
PYPL 11/12/2021 CALL \$250.00 / CUSIP: / Symbol:							
11/12/21	2.000	0.00	11/08/21	450.00	...	-450.00	Option expiration- long call
RBLX 07/16/2021 CALL \$86.00 / CUSIP: / Symbol:							
06/28/21	1.000	709.98	06/24/21	465.00	...	244.98	Option sale to close-call <sup>25</sup>

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Robinhood Securities LLC

Account 531495802

## Proceeds from Broker and Barter Exchange Transactions

2021 1099-B\* OMB No. 1545-0715

(continued)

02/11/2022

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

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
ROKU 12/31/2021 CALL \$300.00 / CUSIP: / Symbol:							
12/08/21	3.000	914.98	11/17/21	1,200.00	...	-285.02	Option sale to close-call <sup>25</sup>
12/31/21	2.000	0.00	11/17/21	800.00	...	-800.00	Option expiration- long call
	<b>Security total:</b>	<b>914.98</b>		<b>2,000.00</b>	...	<b>-1,085.02</b>	
SPY 04/16/2021 CALL \$410.00 / CUSIP: / Symbol:							
3 transactions for 04/01/21. Total proceeds and cost reported to the IRS.							
	1.000	83.98	04/01/21	65.00	...	18.98	1 of 3 - Option sale to close-call <sup>25</sup>
	4.000	335.99	04/01/21	260.00	...	75.99	2 of 3 - Option sale to close-call <sup>25</sup>
	5.000	419.98	04/01/21	325.00	...	94.98	3 of 3 - Option sale to close-call <sup>25</sup>
04/01/21	10.000	839.95	Various	650.00	...	189.95	Total of 3 transactions
TDOC 04/01/2021 CALL \$212.50 / CUSIP: / Symbol:							
03/26/21	1.000	22.98	03/16/21	695.00	...	-672.02	Option sale to close-call <sup>25</sup>
TTD 11/12/2021 CALL \$78.00 / CUSIP: / Symbol:							
6 transactions for 11/08/21. Total proceeds and cost reported to the IRS.							
	1.000	609.99	10/29/21	290.00	...	319.99	1 of 6 - Option sale to close-call <sup>25</sup>
	2.000	1,219.99	10/29/21	580.00	...	639.99	2 of 6 - Option sale to close-call <sup>25</sup>
	3.000	1,829.99	10/29/21	870.00	...	959.99	3 of 6 - Option sale to close-call <sup>25</sup>
	2.000	1,479.98	11/04/21	400.00	...	1,079.98	4 of 6 - Option sale to close-call <sup>25</sup>
	3.000	2,219.97	11/04/21	600.00	...	1,619.97	5 of 6 - Option sale to close-call <sup>25</sup>
	3.000	3,539.97	11/04/21	600.00	...	2,939.97	6 of 6 - Option sale to close-call <sup>25</sup>
11/08/21	14.000	10,899.89	Various	3,340.00	...	7,559.89	Total of 6 transactions
11/10/21	2.000	2,339.97	11/04/21	400.00	...	1,939.97	Option sale to close-call <sup>25</sup>
	<b>Security total:</b>	<b>13,239.86</b>		<b>3,740.00</b>	...	<b>9,499.86</b>	
XL 03/19/2021 CALL \$22.50 / CUSIP: / Symbol:							
2 transactions for 03/19/21. Total proceeds and cost reported to the IRS.							
	2.000	0.00	02/03/21	660.00	...	-660.00	1 of 2 - Option expiration- long call
	1.000	0.00	02/03/21	330.00	...	-330.00	2 of 2 - Option expiration- long call
03/19/21	3.000	0.00	Various	990.00	...	-990.00	Total of 2 transactions

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Robinhood Securities LLC

Account 531495802

**Proceeds from Broker and Barter Exchange Transactions**

2021 1099-B\* OMB No. 1545-0715

(continued)

02/11/2022

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

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
ZM 11/26/2021 CALL \$300.00 / CUSIP: / Symbol:							
2 transactions for 11/23/21. Total proceeds and cost reported to the IRS.							
	2.000	3.99	11/22/21	424.00	...	-420.01	1 of 2 - Option sale to close-call <sup>25</sup>
	1.000	1.99	11/22/21	212.00	...	-210.01	2 of 2 - Option sale to close-call <sup>25</sup>
11/23/21	3.000	5.98	Various	636.00	...	-630.02	Total of 2 transactions
ZM 11/26/2021 PUT \$200.00 / CUSIP: / Symbol:							
2 transactions for 11/23/21. Total proceeds and cost reported to the IRS.							
	1.000	550.99	11/22/21	318.00	...	232.99	1 of 2 - Option sale to close-put <sup>25</sup>
	2.000	1,101.99	11/22/21	636.00	...	465.99	2 of 2 - Option sale to close-put <sup>25</sup>
11/23/21	3.000	1,652.98	Various	954.00	...	698.98	Total of 2 transactions
AMAZON.COM, INC. COMMON STOCK / CUSIP: 023135106 / Symbol:							
06/24/21	0.088	308.66	04/26/21	300.00	...	8.66	Sale <sup>25</sup>
CAMBER ENERGY, INC / CUSIP: 13200M508 / Symbol:							
2 transactions for 11/08/21. Total proceeds and cost reported to the IRS.							
	70.722	88.39	11/02/21	89.11	...	-0.72	1 of 2 - Sale <sup>25</sup>
	0.713	0.89	11/02/21	0.89	...	0.00	2 of 2 - Sale <sup>25</sup>
11/08/21	71.435	89.28	Various	90.00	...	-0.72	Total of 2 transactions
DIREXION DAILY S&P OIL & GAS E XP. & PROD. BULL 2X SHARES / CUSIP: 25460G500 / Symbol:							
06/25/21	0.007	0.68	12/31/20	0.26	...	0.42	Sale <sup>25</sup>
DIREXION DAILY JUNIOR GOLD MIN ERS INDEX BEAR 2X SHARES / CUSIP: 25460G807 / Symbol:							
03/24/21	3.000	36.30	06/11/20	60.87	...	-24.57	Sale <sup>25</sup>
NOVAN, INC. COMMON STOCK / CUSIP: 66988N106 / Symbol:							
03/15/21	500.000	875.33	09/10/20	290.60	...	584.73	Sale <sup>25</sup>
OPGEN, INC. COMMON STOCK / CUSIP: 68373L307 / Symbol:							
3 transactions for 03/08/21. Total proceeds and cost reported to the IRS.							
	0.138	0.49	08/20/20	0.48	...	0.01	1 of 3 - Sale <sup>25</sup>
	0.633	2.25	08/20/20	2.17	...	0.08	2 of 3 - Sale <sup>25</sup>
	145.000	514.88	08/20/20	497.35	...	17.53	3 of 3 - Sale <sup>25</sup>
03/08/21	145.771	517.62	Various	500.00	...	17.62	Total of 3 transactions

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Robinhood Securities LLC

Account 531495802

## Proceeds from Broker and Barter Exchange Transactions

2021 1099-B\* OMB No. 1545-0715

(continued)

02/11/2022

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

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
SATSUMA PHARMACEUTICALS, INC. COMMON STOCK / CUSIP: 80405P107 / Symbol:							
2 transactions for 03/24/21. Total proceeds and cost reported to the IRS.							
	12.000	68.58	09/11/20	60.72	...	7.86	1 of 2 - Sale <sup>25</sup>
	26.887	153.66	09/11/20	130.00	...	23.66	2 of 2 - Sale <sup>25</sup>
03/24/21	38.887	222.24	Various	190.72	...	31.52	Total of 2 transactions
SOFI TECHNOLOGIES, INC. COMMON STOCK / CUSIP: 83406F102 / Symbol:							
07/14/21	41.797	670.49	06/30/21	800.00	...	-129.51	Sale <sup>25</sup>
TAKEDA PHARMACEUTICAL COMPANY LIMITED AMERICAN DEPOSITARY SH ARES (EACH REPRESENTING 1/2 OF / CUSIP: 874060205 / Symbol:							
01/27/21	110.000	1,940.57	01/26/21	2,006.40	...	-65.83	Sale <sup>25</sup>
UXIN LIMITED ADS / CUSIP: 91818X108 / Symbol:							
11 transactions for 11/04/21. Total proceeds and cost reported to the IRS.							
	11.995	26.69	06/29/21	46.86	...	-20.17	1 of 11 - Sale <sup>25</sup>
	0.790	1.76	06/29/21	3.08	...	-1.32	2 of 11 - Sale <sup>25</sup>
	276.702	615.62	07/02/21	998.59	...	-382.97	3 of 11 - Sale <sup>25</sup>
	0.393	0.87	07/02/21	1.41	...	-0.54	4 of 11 - Sale <sup>25</sup>
	173.859	386.81	07/09/21	599.43	...	-212.62	5 of 11 - Sale <sup>25</sup>
	0.165	0.37	07/09/21	0.57	...	-0.20	6 of 11 - Sale <sup>25</sup>
	358.667	797.98	09/27/21	999.82	...	-201.84	7 of 11 - Sale <sup>25</sup>
	0.066	0.15	09/27/21	0.18	...	-0.03	8 of 11 - Sale <sup>25</sup>
	80.897	179.98	10/18/21	198.86	...	-18.88	9 of 11 - Sale <sup>25</sup>
	0.452	1.01	10/18/21	1.10	...	-0.09	10 of 11 - Sale <sup>25</sup>
	0.015	0.03	10/18/21	0.07	...	-0.04	11 of 11 - Sale <sup>25</sup>
11/04/21	904.000	2,011.27	Various	2,849.97	...	-838.70	Total of 11 transactions
11/04/21	0.015	0.03	06/29/21	0.06	0.03 W	0.00	Sale <sup>25</sup>
	<b>Security total:</b>	<b>2,011.30</b>		<b>2,850.03</b>	<b>0.03 W</b>	<b>-838.70</b>	
ZOMEDICA CORP. / CUSIP: 98980M109 / Symbol:							
7 transactions for 04/15/21. Total proceeds and cost reported to the IRS.							
	400.000	394.06	04/15/21	436.00	31.46 W	-10.48	1 of 7 - Sale <sup>25</sup>
	100.000	98.52	04/15/21	108.50	9.98 W	0.00	2 of 7 - Sale <sup>25</sup>
	100.000	98.52	04/15/21	108.50	9.98 W	0.00	3 of 7 - Sale <sup>25</sup>
	100.000	98.52	04/15/21	108.50	9.98 W	0.00	4 of 7 - Sale <sup>25</sup>

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Robinhood Securities LLC

Account 531495802

## Proceeds from Broker and Barter Exchange Transactions

2021 1099-B\* OMB No. 1545-0715

(continued)

02/11/2022

**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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ZOMEDICA CORP. / CUSIP: 98980M109 / Symbol: (cont'd)							
	100.000	98.52	04/15/21	108.50	9.98 W	0.00	5 of 7 - Sale <sup>25</sup>
	100.000	98.52	04/15/21	108.50	9.98 W	0.00	6 of 7 - Sale <sup>25</sup>
	100.000	98.51	04/15/21	108.50	9.99 W	0.00	7 of 7 - Sale <sup>25</sup>
04/15/21	1,000.000	985.17	Various	1,087.00	91.35 W	-10.48	Total of 7 transactions
	7 transactions for 05/21/21. Total proceeds and cost reported to the IRS.						
	100.000	79.39	04/21/21	93.88	14.49 W	0.00	1 of 7 - Sale <sup>25</sup>
	100.000	79.39	04/21/21	93.88	14.49 W	0.00	2 of 7 - Sale <sup>25</sup>
	100.000	79.39	04/21/21	93.88	14.49 W	0.00	3 of 7 - Sale <sup>25</sup>
	100.000	79.39	04/21/21	93.88	14.49 W	0.00	4 of 7 - Sale <sup>25</sup>
	100.000	79.38	04/21/21	93.88	14.50 W	0.00	5 of 7 - Sale <sup>25</sup>
	100.000	79.39	04/21/21	93.89	14.50 W	0.00	6 of 7 - Sale <sup>25</sup>
	300.000	238.15	04/21/21	283.16	45.01 W	0.00	7 of 7 - Sale <sup>25</sup>
05/21/21	900.000	714.48	Various	846.45	131.97 W	0.00	Total of 7 transactions
	8 transactions for 06/23/21. Total proceeds and cost reported to the IRS.						
	300.000	247.55	06/03/21	323.23	...	-75.68	1 of 8 - Sale <sup>25</sup>
	636.000	524.80	06/03/21	589.83	...	-65.03	2 of 8 - Sale <sup>25</sup>
	100.000	82.52	06/03/21	107.24	...	-24.72	3 of 8 - Sale <sup>25</sup>
	100.000	82.52	06/03/21	107.24	...	-24.72	4 of 8 - Sale <sup>25</sup>
	100.000	82.52	06/03/21	107.23	...	-24.71	5 of 8 - Sale <sup>25</sup>
	100.000	82.52	06/03/21	107.23	...	-24.71	6 of 8 - Sale <sup>25</sup>
	100.000	82.52	06/03/21	107.23	...	-24.71	7 of 8 - Sale <sup>25</sup>
	100.000	82.52	06/03/21	107.23	...	-24.71	8 of 8 - Sale <sup>25</sup>
06/23/21	1,536.000	1,267.47	Various	1,556.46	...	-288.99	Total of 8 transactions
	<b>Security total:</b>	<b>2,967.12</b>		<b>3,489.91</b>	<b>223.32 W</b>	<b>-299.47</b>	
ITERUM THERAPEUTICS PLC ORDINA RY SHARE / CUSIP: G6333L101 / Symbol:							
	2 transactions for 06/30/21. Total proceeds and cost reported to the IRS.						
	0.086	0.20	06/28/21	0.20	...	0.00	1 of 2 - Sale <sup>25</sup>
	343.586	801.16	06/28/21	799.80	...	1.36	2 of 2 - Sale <sup>25</sup>
06/30/21	343.672	801.36	Various	800.00	...	1.36	Total of 2 transactions

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Robinhood Securities LLC

Account 531495802

**Proceeds from Broker and Barter Exchange Transactions**

2021 1099-B\* OMB No. 1545-0715

(continued)

02/11/2022

**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
TRANSOCEAN LTD. / CUSIP: H8817H100 / Symbol:							
<i>2 transactions for 10/26/21. Total proceeds and cost reported to the IRS.</i>							
	462.626	1,833.32	06/28/21	1,997.85	96.24 W	-68.29	1 of 2 - Sale <sup>25</sup>
	0.499	1.98	06/28/21	2.15	0.17 W	0.00	2 of 2 - Sale <sup>25</sup>
10/26/21	463.125	1,835.30	Various	2,000.00	96.41 W	-68.29	Total of 2 transactions
<i>4 transactions for 11/04/21. Total proceeds and cost reported to the IRS.</i>							
	270.615	1,004.86	11/02/21	1,094.40	...	-89.54	1 of 4 - Sale <sup>25</sup>
	0.256	0.95	11/02/21	1.03	...	-0.08	2 of 4 - Sale <sup>25</sup>
	0.129	0.48	11/02/21	0.52	...	-0.04	3 of 4 - Sale <sup>25</sup>
	0.115	0.43	11/02/21	0.46	...	-0.03	4 of 4 - Sale <sup>25</sup>
11/04/21	271.115	1,006.72	Various	1,096.41	...	-89.69	Total of 4 transactions
	<b>Security total:</b>	<b>2,842.02</b>		<b>3,096.41</b>	<b>96.41 W</b>	<b>-157.98</b>	
CYREN LTD. ORDINARY SHARES / CUSIP: M26895108 / Symbol:							
07/02/21	66.000	48.83	06/25/21	47.42	...	1.41	Sale <sup>25</sup>
07/02/21	684.000	506.07	06/28/21	521.55	4.37 W	-11.11	Sale <sup>25</sup>
11/08/21	193.000	98.43	07/19/21	118.14	...	-19.71	Sale <sup>25</sup>
	<b>Security total:</b>	<b>653.33</b>		<b>687.11</b>	<b>4.37 W</b>	<b>-29.41</b>	
CASTOR MARITIME INC. COMMON SH ARES / CUSIP: Y1146L109 / Symbol:							
04/23/21	368.000	182.86	04/07/21	190.26	...	-7.40	Sale <sup>25</sup>
TOP SHIPS, INC. COMMON STOCK / CUSIP: Y8897Y180 / Symbol:							
03/24/21	40.000	84.80	08/07/20	101.40	...	-16.60	Sale <sup>25</sup>
<b>Totals :</b>		<b>65,663.65</b>		<b>58,085.98</b>	<b>1,097.14 W</b>	<b>8,674.81</b>	

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Robinhood Securities LLC

Account 531495802

**Proceeds from Broker and Barter Exchange Transactions**

2021 1099-B\* OMB No. 1545-0715

(continued)

02/11/2022

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

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

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	7- Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
DIREXION DAILY S&P OIL & GAS E XP. & PROD. BULL 2X SHARES / CUSIP: 25460G500 / Symbol:							
<i>3 transactions for 06/25/21. Total proceeds and cost reported to the IRS.</i>							
	0.007	0.68	06/03/20	0.28	...	0.40	1 of 3 - Sale <sup>25</sup>
	0.993	99.80	06/03/20	41.81	...	57.99	2 of 3 - Sale <sup>25</sup>
	3.000	301.44	06/04/20	123.99	...	177.45	3 of 3 - Sale <sup>25</sup>
06/25/21	4.000	401.92	Various	166.08	...	235.84	Total of 3 transactions
GENIUS BRANDS INTERNATIONAL, I NC. COMMON STOCK / CUSIP: 37229T301 / Symbol:							
<i>2 transactions for 06/24/21. Total proceeds and cost reported to the IRS.</i>							
	13.000	25.48	06/03/20	96.72	...	-71.24	1 of 2 - Sale <sup>25</sup>
	4.000	7.84	06/04/20	30.84	...	-23.00	2 of 2 - Sale <sup>25</sup>
06/24/21	17.000	33.32	Various	127.56	...	-94.24	Total of 2 transactions
PALANTIR TECHNOLOGIES INC. CLA SS A COMMON STOCK / CUSIP: 69608A108 / Symbol:							
10/18/21	8.000	193.76	10/01/20	75.60	...	118.16	Sale <sup>25</sup>
<b>Totals :</b>		<b>629.00</b>		<b>369.24</b>		<b>259.76</b>	

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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-B Instructions for Recipient**

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

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

**Applicable 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

**Instructions for Recipient**

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.

**Line 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).

**Free File.** Go to [www.irs.gov/FreeFile](http://www.irs.gov/FreeFile) to see if you qualify for no-cost online federal tax preparation, e-filing, and direct deposit or payment options.

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